



# **U.S. DEPARTMENT OF STATE STRATEGIC PLAN**



September 1997



# **Department of State Strategic Plan for International Affairs Contents**

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## **INTRODUCTION**

### **STRATEGIC PLANNING AT THE DEPARTMENT OF STATE**

This introduction explains the Department of State's approach to strategic planning and provides a guide to the September 1997 versions of the International Affairs and State Department Strategic Plans, which are submitted here in accordance with the Government Performance and Results Act (GPRA). It is organized according to the six GPRA strategic plan components and the four additional criteria that are being used to evaluate agency plans. These sections address issues Congress, OMB, GAO, and others have raised during reviews of the State Department Plan.

#### **The State Department Strategic Planning Team**

In September 1996, the State Department formed a Strategic Planning Team and Senior Advisory Group that, building on previous efforts, would draft a Mission Statement and Strategic Plan for the Department. Beginning with a fundamental working alliance between the policy and management sides of the house, the Team consisted of 16 officers drawn from the Department's regional, functional, and management bureaus. A nine-person assistant secretary's Senior Advisory Group was similarly broad-based, under the leadership of the Secretary's Director for Resources, Plans, and Policy and the Chief Financial Officer.

This initiative has a clear mandate from the Department's leadership. It has developed into a major investment in strategic planning and performance measurement as powerful tools for achieving U.S. foreign policy goals and managing our international affairs resources. The Government Performance and Results Act provides a critical basis in legislation for this effort.

The Strategic Planning Team realized soon after it started its work that setting goals that referred exclusively to the State Department was an artificial exercise that would lead to overlaps and confusion. Instead, the Team began to formulate an International Affairs Strategic Plan, that would establish a comprehensive framework for U.S. foreign policy goals. This Plan does not refer to specific agencies, but rather defines seven national interests in terms of the security, prosperity, and values of the American people. Sixteen strategic goals establish a framework for promoting and defending these interests in the areas of national security, economic prosperity, American citizens and borders, law enforcement, democracy and human rights, humanitarian response, and global issues. (See page 9 for a summary of these goals.)

The Department of State Strategic Plan defines State's mission and roles in achieving the goals set out in the International Affairs Strategic Plan. Management goals for maintaining United States diplomatic readiness abroad are established for human resources, information management, and infrastructure and operations. The Plans have been circulated for comment throughout the Department, and have the approval of the Secretary of State.

During the past year, the Department has taken the first steps to apply strategic planning to policy and resource management. In light of the ongoing reorganization of the foreign affairs agencies mandated by the President, we consulted extensively to coordinate strategic plans with the Agency for International Development, the United States Information Agency, and the Arms Control and Disarmament Agency. The Secretary of State has directed that we use the International Affairs Strategic Plan to "build a shared vision for what we want to accomplish in the world today." This effort potentially involves virtually every agency in the U.S. Government.

The Department has also made significant progress in building a unified process for policy and resource management based on strategic planning and performance measurement. In the spring of 1997, the Department's regional, functional, management, and policy support bureaus formulated Program Plans that set out long-term goals and short-term objectives in their areas of responsibility for achieving the overall goals of the International Affairs and State Department Strategic Plans. These Program Plans are synthesized in the State Department Performance Plan to be submitted in accordance with the GPRA, and will form the basis of a goal-based presentation of the FY 1999 International Affairs Function 150 budget that will accompany the Congressional Presentation organized by existing programs and accounts.

Looking ahead, a project is currently underway to incorporate the more than 150 overseas missions into this process next year. Much remains to be done to develop the Strategic Plans further, particularly on performance measures. A conference series to expand stakeholder consultations is also in planning. More detail on these next steps is provided in the following sections.

## **The Mission Statement**

As its first task, the State Strategic Planning Team and Advisory Group dedicated themselves to drafting a mission statement that would serve as the foundation for United States international affairs goals. The State Department Mission Statement is a companion to the International Affairs Mission Statement. It outlines the general roles and core functions of the State Department, and sets the basis for defining the roles of the State Department in achieving the international affairs goals. A separate section identifies the

specific legal authorities of the Department of State for these core functions and roles. Another section provides an overview of the agencies, programs, and resources that the U.S. Government applies to the goals.

## **Goals and Objectives**

The 16 goals in the International Affairs Strategic Plan are intended to cover the universe of what the U.S. wants to accomplish in the world. There are many complexities. Some of the goals, such as protection of American citizens abroad, necessarily represent ongoing responsibilities rather than end states. As discussed in the Strategic Overview, there is no fixed set of general priorities. National security is a prerequisite goal, but economic, humanitarian, or other concerns may prevail depending on time and circumstance. Goals are nearly always interrelated, and can at times be in conflict, as is often the case with human rights and economic prosperity. Environmental and population goals focus on global problems where results are far in the future.

At present, only some of the goals, such as achieving \$1.2 trillion in exports by 2000, are directly quantifiable. For some, notably counternarcotics, a wealth of quantitative data reveals little about the impact of specific targets, such as increasing drug seizures, on the desired outcome of reducing the flow of narcotics into the U.S. Qualitative measurement is more practical for most national security and other goals. Measures become more specific when applied to specific countries with objectives for shorter time frames.

None of the 16 goals is exclusive to a single agency, and the Department of State has a role in achieving each of them. GPRA emphasizes program goals, but State's mission is fundamentally related to foreign policy-making, the conduct of foreign relations, and coordination of U.S. activities overseas. State's span of control and influence on each of these goals is not specifically defined in law, but is rather derived from the role of the Secretary of State as the President's principal foreign policy advisor and the authority of the Chief of Mission over all USG personnel abroad, except those under a regional military commander.

An important State Department strategic planning dimension that remains to be developed are intermediate goals and performance indicators to show the contribution of diplomatic activities, such as negotiation and reporting and analysis, to achieving strategic goals.

## **Strategies**

Strategies listed under the International Affairs goals are menus of programs,

activities, and resources from the entire U.S. Government directed to achieving goals. These range from military action to development, humanitarian assistance, and public diplomacy. When applied to specific regions and countries they can be more specifically articulated into plans of action. Responsible State Department bureaus and roles are identified for each of the strategies.

Communication is an integral part of the Program Planning process, and the entire Department of State has participated in formulating specific goals and objectives to achieve the international affairs goals. Program planning captures proposals for new or changed objectives and associated changes in programs, resources, and legislation, generally as part of the budget cycle.

Next steps for developing strategies further will include more specific elaboration of agency capabilities and roles in consultations, and ultimately more sophisticated reviews to determine whether strategies and resources are sufficient to achieve goals. These are currently known for relatively few goals where there is a direct relationship between programs and outcomes, such as issuance of visas to control legal entry of immigrants and non-immigrants into the United States. Such relationships become much more complex for most other goals. For example, the relationship between the level of seizures of narcotics by law enforcement agencies and levels of narcotics entering the United States is unknown.

## **The Relationship Between Strategic Goals and Performance Goals**

There is a direct relationship between the 16 strategic goals and the goals and objectives in the State Department Performance Plan, which is drawn from the Department's Program Plans. The annual Program Planning cycle is designed so that there is a progressive line from any specific objective (performance goal) to an intermediate "operational goal" to one of the 16 strategic goals and 7 National Interests in the International Affairs Strategic Plan. If this chain cannot be clearly established, the objective requires examination.

For example:

**National Interest:** National Security

**Strategic Goal:** Eliminate the threat to the United States and its allies from weapons of mass destruction or destabilizing conventional arms.

**Operational Goal:** Strengthen multilateral regimes in support of nuclear non-proliferation, export controls, and international nuclear safeguards.



**Objective (Performance Goal):** Multilateral negotiations on a Fissile Material Cutoff Treaty underway by the first quarter of FY 1999.

As described above, this linkage is applied dynamically in the annual Program Planning cycle, and includes resource and performance measurement components.

## **External Factors**

External factors are identified in the assumption section of the Plan for each strategic goal. There are three types:

**Critical factors:** Developments which must take place for a goal to be achieved. For example, the passage of Fast Track legislation in Congress is identified as a critical operational goal for opening markets.

**Externalities:** Conditions beyond the control of the U.S. Government that must hold for a goal to be achieved. For example, the global economy must continue to grow at about 3% annually for the United States to reach its export target of \$1.2 trillion by the year 2000.

**Contingencies:** Events that, if they were to occur, would require significant adjustment of a goal. For example, recession in a majority of the Big Emerging Market countries would require a shift in strategy or a downward revision of the \$1.2 trillion export target.

The Strategic Overview also identifies six major global trends in the areas of multiple security threats, new technologies, global problems, multilateral cooperation, democracy, and economic interdependence that have a fundamental effect on all of the goals.

## **Program Evaluations**

As is the case for the Strategic Plan itself, strict application of GPRA on an agency-specific, program-oriented basis has only partial application to the complexities of foreign policy. Not only does the Department of State's mission emphasize policy and operations more than programs, its scope of responsibility for the coordination of foreign affairs covers virtually every other U.S. Government agency, often has general rather than specific legislative authorities, and involves complex management of overseas missions. In addition, the multiple factors involved in achieving goals and influencing foreign policy outcomes makes setting targets and measuring performance a difficult challenge.

No process currently exists for the systematic evaluation of United States interna-

tional affairs goals, and the Strategic Planning Team had no specific evaluations of this scope available when formulating the 16 strategic goals. As indicated above, State's

Performance Planning process (including both Bureau Performance Plans and Mission Performance Plans) is intended to provide the principal vehicle for revising goals and evaluating performance. On the other hand, evaluation is, in fact, constant and ongoing through activities such as reporting and analysis, interagency working groups, and inspections of overseas Missions. Evaluations of other types such as those from the Office of the Inspector General, the GAO, USAID development projects, and USIA foreign public opinion surveys, have potentially valuable applications to performance measurement.

Performance measurement and evaluation for international affairs should ideally be carried out on an interagency basis. The extensive initiative involving 24 agencies sponsored by the White House Office of National Drug Control Policy (ONDCP) to establish performance measures for U.S. counternarcotics goals demonstrates the difficulty of setting targets and carrying out evaluations for international affairs goals.

The State Department has included in the International Affairs Strategic Plan the results of an initial effort to identify performance indicators for international affairs goals. Bureaus and Missions are now required to identify specific performance measures for objectives in a 1-year timeframe. Development of a process for performance evaluation that will link measures to strategic and operational goals is underway. The current timetable calls for evaluations to take place as part of program planning and mission performance planning beginning in FY 2000.

## **Cross-Cutting Functions**

Coordinating the international programs and activities of the U.S. Government overseas is a core mission of the State Department. The International Affairs Strategic Plan is designed as a tool for the Secretary of State and Chiefs of Mission to do this more effectively by providing a comprehensive framework for our international goals. In practice, the goals themselves have many cross-cutting dimensions. For example, there are multiple linkages between goals on population and environment, and between weapons of mass destruction and terrorism. Articulating these linkages is a key strategic planning challenge.

In drafting the Strategic Plan, the State Department Team referred in the first instance to the White House National Security Strategy, documents such as the National Export Strategy and the National Drug Control Strategy, and other agency draft plans. Members of the Team held preliminary consultations with over 15 agencies to outline the

approach being taken with the International Affairs Strategic Plan, and to ensure that the Plan's 16 goals were in line with those individual agencies have identified for their international activities.

In February 1997, the Secretary of State approved the draft International Affairs and State Strategic Plans for more formal consultations. To complement the reorganization of the foreign affairs agencies, we held extensive consultations with USIA, ACDA, and AID. As a result the State, AID, and USIA Strategic Plans are coordinated with each other, and the ACDA Plan is fully integrated into the State Plan. Initial consultations have also taken place with DOD, the intelligence community, ONDCP, and the United States Trade Representative.

These consultations are intended to align strategic goals and to clearly define roles and missions. Agency-to-agency consultations will also continue, as will interagency program planning and Country Team participation in mission performance planning overseas.

## **Data Capacity**

Development of the data capacity and information systems essential to measuring progress toward international affairs goals is currently underway. But it will be some time before a fully refined set of performance measures and a performance evaluation process will be fully operational. The initial results of matching policy goals to resources through Program Planning will appear in the goal-based portion of the FY 1999 Function 150 budget presentation. A Resource Allocation and Budget Integration Tool (RABIT) to link both overseas posts and domestic operations resources to the international affairs goals is being developed. Initial overseas deployment is anticipated in the spring of 1998 with domestic operations to follow. Refinement of these systems will take place over the next several years.

## **Management Issues**

The Diplomatic Readiness section of the State Department Strategic Plan defines the Department's general responsibilities for managing the human resources, information resources, and infrastructure and operations necessary to support the 16 International Affairs goals. This section represents a first effort to set strategic goals for the Department's major management responsibilities at home and abroad. Strategies describe the multiple initiatives the Department has underway to address management problems and issues. For example, preparing a comprehensive workforce plan to ensure that the Department has the right people in the right places is a primary objective of the

Human Resource goal. Similarly, setting the strategic direction for Information Resources Management is a critical Diplomatic Readiness objective.

The Performance Plan and the FY 1999 budget for State Operations contains more specific linkages between the Diplomatic Readiness goals and strategic goals. Incorporation of management goals for integration of ACDA and USIA into the State Department awaits decisions on how reorganization will proceed.

## **Consultations**

The leadership of the State Department is committed not just to drafting a good Strategic Plan, but to applying strategic planning to the management of international affairs policy and resources. Success will require time, an enormous amount of discovery and learning, not to mention culture change.

Consultations and communications on the International Affairs and State Department Strategic Plans have been extensive, but much more remains to be done.

In addition to consultations with the foreign affairs and other agencies noted above, the State Department has participated in useful discussions with GAO, OMB, the CFO Council, the President's Management Council, and NAPA, as well as a variety of governmental and non-governmental seminars and conferences. Drafts of the plans have been provided to the Senate and the House, and ongoing consultations with House Congressional staff members, led by the HIRC, have been particularly useful.

The Strategic Planning Team emphasized communications within the Department of State, relying on the leadership of the Director of the Secretary's Office of Resources Plans and Policy and the Chief Financial Officer. Over 150 officers in every bureau of the Department have been involved in developing and introducing Program Planning in 1997. To carry this out we held regular coordination and information meetings at all levels, including briefings for the Secretary of State and other senior Department leaders. Numerous specially designed workshops on strategic planning, performance measurement, and program planning took place at the National Foreign Affairs Training Center. The Department benefited from the assistance of a consultant in the implementation of these workshops. Briefings on strategic planning have also been integrated into other training programs, including the Ambassadorial, Senior, and Intergovernmental Seminars, Deputy Chief of Mission course, and the Washington Tradecraft and Junior Officer Orientation courses. A "Guide to Policy and Resource Management" serves as the

principal written information and instructions on the strategic planning process. Finally, the Secretary's Open Forum held a program in which representatives of State, AID, ACDA, and USIA jointly made presentations on their strategic planning efforts.

The Department is currently organizing two important next steps:

- Building on existing practice, Chiefs of Mission at our Embassies worldwide will be asked to lead their country teams in preparing Mission Performance Plans based on the Strategic Plan in early 1998.
- The State Department plans to hold a conference series on International Affairs in the 21st century in the fall of 1997. The primary purpose of the series is to broaden consultations on the International Affairs Strategic Plan with other agencies, the Congress, non-governmental organizations, and other stakeholders. We anticipate publishing an improved revision of the Strategic Plan as a result.



## **SUMMARY**

### **DEPARTMENT OF STATE STRATEGIC PLAN FOR INTERNATIONAL AFFAIRS**

This Strategic Plan outlines the roles and mission of the Department of State in achieving the foreign policy goals of the United States, under the direction of the President and the Secretary of State. It is a companion to the International Affairs Strategic Plan, which articulates the fundamental national interests of the United States in terms of long-range goals to create a more secure, prosperous, and democratic world for the American people.

The Strategic Overview outlines trends that have a major, global impact on U.S. foreign policy, and identifies the means by which the United States pursues its objectives. The International Affairs Mission Statement defines core U.S. values and priority interests, establishing strategic goals for national security, economic prosperity, protection of American citizens and border security, law enforcement, democracy, humanitarian assistance, environment, population, and health. The Department of State Mission Statement identifies the core responsibilities and values of State as the lead institution for the conduct of American diplomacy.

The sixteen International Affairs strategic goals are long-term, with timeframes of 5 years-plus. Targets are specific where possible. A set of strategies is presented for achieving each goal, along with assumptions about potentially critical external factors and indicators that can be used to measure progress.

The role of the Department of State is defined for each of the goals and the strategies associated with them. Lead agencies and responsible State bureaus are also identified. The legal authorities of the Department of State and International Affairs resources are included as sections in this Plan.

Virtually all USG agencies contribute to U.S. International Affairs goals both at home and abroad. The Diplomatic Readiness section of the Strategic Plan establishes goals for the human resources, information resources management, and infrastructure and operations of the Department of State, particularly as they apply to management of U. S. missions overseas.

The Strategic Plan for International Affairs is a guide to help clarify U.S. foreign policy goals, coordinate the roles and missions of USG agencies, improve the linkage of resources to policy, and justify those resources to Congress and the public. This document is the product of consultations among the foreign affairs agencies, and complements their own mission-specific plans.





## OVERVIEW

Changes in the world at the end of the 20th century make this a time of profound choice for the United States. The foreign policy goals of creating a more secure, prosperous, and democratic world for the benefit of the American people remain fundamental. However, deep and lasting changes to the global landscape, such as new technologies, increasing population, and economic and geopolitical transformations, have strategic implications for the U.S. international leadership.

Defined by reference to the past, the post-cold war era has as its most significant attribute the absence of any immediate, vital threat to national security. The demise of the Soviet Union has left the United States as the preeminent world power and invested it with unparalleled leadership responsibilities. But the end of superpower competition also eliminated the unifying strategy for U.S. foreign policy. Now, in addition to regional security issues, an array of threats—weapons proliferation, terrorism, ethnic and religious conflict, organized crime, drug trafficking, and environmental degradation—challenges U.S. interests and blurs the traditional dividing lines between domestic and foreign affairs.

Successful U.S. foreign policy depends on recognition of the conditions that are likely to prevail in this new and evolving international context. Six strategic assumptions about long-term global trends are an essential starting point for determining where, when, and how the United States is to engage in the world:

1. **Multiple conflicts**, crises, and threats—many of them transnational—rather than a single overriding challenge, will continue to emerge and may increase in frequency. While these may be small or localized in nature, they will frequently have potential for wider impact. These challenges will require determination, resources, and time to resolve.
2. **New technologies**, the information revolution, and economic growth have increased the rate of global change, accelerated communications, and diminished the importance of time and distance. As a result, the world is more interdependent, while the consequences of political, social, economic, and military developments are more interrelated.
3. **Global problems**, especially those related to the environment, population, and disease, will have ever greater impact. These problems demand international attention, and solutions must take implications for future generations and the integrity of the planet into account.
4. **Multilateral cooperation** and communication will prove increasingly feasible and effective to prevent crises, resolve problems, build trust, and advance common interests. Relations between nation-states will nevertheless remain central to the

conduct of international affairs, but nongovernmental actors will gain increasing influence.

5. **Democracy** will continue to advance internationally, but democratic practices will vary among states and will be subject to countervailing influences and interests.
6. **Economic interdependence** will increase. Private enterprise will be the primary driver, although the role of government in maintaining stable macroeconomic conditions and promoting opportunities will remain critical. New centers of economic growth and power will emerge, trade and financial flows will accelerate, but distribution of the economic benefits, both internally and internationally, will be uneven.

A clear understanding and articulation of foreign policy goals must be based on recognizing how these six trends affect U.S. conduct of its international relations. Security, political, economic, and global priorities are not uniformly fixed, but vary with time and circumstance, are interlinked, and often involve difficult tradeoffs.

Diplomacy is America's first line of defense. Sustained military strength and flexibility are necessary to assure national security, but the conduct of U.S. relations with the rest of the world through an effective international presence and discerning leadership is what makes the United States a force for peace. Relatively small investments in diplomacy and sustainable development now to prevent conflict, create the conditions for economic growth, promote democracy, enhance communication, and protect the environment decrease the possibilities of much more costly conflict later and help ensure the prosperity and well-being of the American people.

Foreign affairs today has many dimensions in addition to national security, trade, and other traditional concerns. The number of nation-states, international organizations, and other involved parties—each with their own interests and objectives—has multiplied. Direct interaction and communication with foreign and domestic nongovernmental organizations and publics is an increasingly essential responsibility. Equally important, the intersection of domestic and foreign issues has expanded to affect every American and involve virtually the entire U.S. Government. In pursuing its international objectives, the United States must take into account the multiple and often competing intentions and interests of other governments and organizations, public opinion, Congress, and other U.S. agencies, as well as resource constraints.

Protecting national interests and advancing U.S. goals involves virtually every agency of the U.S. Government and requires a set of strategic assets:

- Expert diplomacy, a strong military, and effective intelligence, working in coordination to maintain national security;

- Fundamental capabilities to carry out international affairs missions in public diplomacy, sustainable development, and arms control;
- Full participation by domestic and specialized U.S. agencies in those aspects of international affairs that pertain to their particular scopes of authority and expertise;
- Programs in sustainable development, military cooperation, peacekeeping, law enforcement, finance, international information, academic and cultural exchange, and other fields to provide the means necessary to address problems and achieve objectives; and
- Diplomatic readiness consisting of the human resources, infrastructure and operations, and information resources management necessary for a strong U.S. international presence.

In order for the United States to fulfill its foreign policy goals with lasting effect, these assets must have the capability for worldwide deployment, be well coordinated, be stable enough to pursue long-term objectives, be flexible enough to prevent and mitigate emerging crises, have sufficient resources to meet established objectives, and have the support of the American people.



## **DEPARTMENT OF STATE MISSION STATEMENT**

U.S. diplomacy is an instrument of power, essential for maintaining effective international relationships, and a principal means through which the United States defends its interests, responds to crises, and achieves its international goals. The Department of State is the lead institution for the conduct of American diplomacy, a mission based on the role of the Secretary of State as the President's principal foreign policy adviser.

In order to carry out U.S. foreign policy at home and abroad, the Department of State:

- Exercises policy leadership, broad interagency coordination, and management of resource allocation for the conduct of foreign relations;
- Leads representation of the United States overseas and advocates U.S. policies foreign governments and international organizations;
- Coordinates, and provides support for, the international activities of U.S. agencies, official visits, and other diplomatic missions;
- Conducts negotiations, concludes agreements, and supports U.S. participation in international negotiations of all types;
- Coordinates and manages the U.S. Government response to international crises of all types;
- Carries out public affairs and public diplomacy;
- Reports on and analyzes international issues of importance to the U.S. Government;
- Assists U.S. business;
- Protects and assists American citizens living or traveling abroad;
- Adjudicates immigrant and nonimmigrant visas to enhance U.S. border security;
- Manages those international affairs programs and operations for which State has statutory responsibility; and
- Guarantees the Diplomatic Readiness of the U.S. Government.

Most of the time, State personnel in the United States and abroad carry out these core diplomatic activities in pursuit of specific goals. Some ongoing responsibilities are essential to the conduct of effective international relations and contribute to all international affairs goals, for example maintaining contacts and access overseas, or supporting official visits. Similarly, State's management functions provide the foundation of support essential for maintaining U.S. diplomatic readiness around the world.

At posts overseas, the Ambassador reports to the President through the Secretary of State, and as Chief of Mission has authority over all U.S. executive branch personnel, except for those under a U.S. area military commander. The Country Team, led by the Chief of Mission, is the principal coordinating body for all U.S. Government agencies represented at overseas Missions. As the lead agency abroad, State manages U.S. Embassies, Consulates, and other diplomatic posts, and supports the international activities of the rest of the U.S. Government.

The world is more complex and the conduct of international relations is more demanding than ever before. Successful diplomacy requires deep understanding of the international environment and careful application of influence, persuasion, and negotiation. These are particular strengths of the Department of State.

As long as U.S. international leadership requires a universal presence overseas, State will have a core responsibility to maintain the Diplomatic Readiness of the U.S. Government. This means ensuring that resources are adequate, matched to priorities, and are used effectively to put the right people in the right places, with the security and support needed for them to defend national interests and achieve U.S. goals.

## DEPARTMENT OF STATE VALUES

The men and women of the Department of State, at home and overseas, have a distinct responsibility to represent and advocate the interests and people of the United States in the rest of the world. The International Affairs Mission Statement is the map of what we aim to accomplish; this Values Statement articulates the guiding principles for us as individuals and as an institution.

- **Impact:** Our work significantly advances the interests of the American people at home and abroad.
- **Expertise:** Language and cultural skills, area and technical expertise, management ability, and international experience are critical to our role as the lead U.S. Government agency overseas; our skills help others representing the United States do their jobs more effectively.
- **Discipline:** We faithfully execute policy regardless of personal views; members of the Foreign Service are ready to serve worldwide as needed.
- **Dissent:** The constructive, thoughtful expression of divergent views strengthens the formulation and execution of foreign policy.
- **Diversity:** We strive for a merit-based workforce that is excellent, reflective of the American people, and confident that solid, mission-related performance is rewarded.
- **Partnership:** Our effectiveness as an institution is heightened by the unique mix of skills and experiences that our Civil Service, Foreign Service, and foreign national colleagues bring to the workplace.
- **Commitment:** We are dedicated to America's leadership in the world and to the effective conduct of international relations; we take the long-term view that comes with a career, not merely a job.





## **INTERNATIONAL AFFAIRS MISSION STATEMENT**

**The purpose of United States foreign policy is to create a more secure, prosperous, and democratic world for the benefit of the American people.** In an increasingly interdependent and rapidly changing world, international events affect every American. Successful U.S. international leadership is essential to security at home, better jobs and a higher standard of living, a healthier environment, and safe travel and conduct of business abroad.

Under the direction of the President and the Secretary of State, the United States conducts relations with foreign governments, international organizations, and others to pursue U.S. national interests and promote American values. The goals of U. S. foreign policy are to:

- Secure peace; deter aggression; prevent, and defuse, and manage crises; halt the proliferation of weapons of mass destruction; and advance arms control and disarmament;
- Expand exports, open markets, assist American business, foster economic growth, and promote sustainable development;
- Protect American citizens abroad and safeguard the borders of the United States;
- Combat international terrorism, crime, and narcotics trafficking;
- Support the establishment and consolidation of democracies, and uphold human rights;
- Provide humanitarian assistance to victims of crisis and disaster; and
- Improve the global environment, stabilize world population growth, and protect human health.

To advance the interests of the nation and the American people through foreign affairs leadership, the U.S. Government requires a strong international presence; a highly qualified, motivated, and diverse Civil and Foreign Service serving at home and abroad; extensive communication with the public, both foreign and domestic; and the political, military, and economic means to carry out the nation's foreign policies.



## **U.S. NATIONAL INTERESTS AND STRATEGIC GOALS**

### **National Security:**

- Ensure that local and regional instabilities do not threaten the security and well-being of the United States or its allies.
- Eliminate the threat to the United States and its allies from weapons of mass destruction or destabilizing conventional arms.

### **Economic Prosperity:**

- Open foreign markets to free the flow of goods, services, and capital.
- Expand U.S. exports to \$1.2 trillion by 2000.
- Increase global economic growth.
- Promote broad-based economic growth in developing and transitional economies.

### **American Citizens and U.S. Borders:**

- Enhance the ability of American citizens to travel and live abroad securely.
- Control how immigrants and nonimmigrants enter and remain in the United States.

### **Law Enforcement:**

- Minimize the impact of international crime on the United States and its citizens.
- Reduce significantly from 1997 levels, the entry of illegal drugs into the United States.
- Reduce international terrorist attacks, especially against the United States and its citizens.

### **Democracy:**

- Increase foreign government adherence to democratic practices and respect for human rights.

### **Humanitarian Response:**

- Prevent or minimize the human costs of conflict and natural disasters.

### **Global Issues:**

- Secure a sustainable global environment in order to protect the United States and its citizens from the effects of international environmental degradation.
- Stabilize world population growth.
- Protect human health and reduce the spread of infectious diseases.



## **NATIONAL INTEREST: NATIONAL SECURITY**

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**GOAL:** Ensure that local and regional instabilities do not threaten the security and well-being of the United States or its allies.

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As established in the President's National Security Strategy, U.S. national security, based on diplomatic leadership, a strong military, and effective intelligence, is a prerequisite to achieving all other U.S. international goals. Traditional defensive alliances and state-to-state relations remain priorities. However, defense of U.S. interests may compel action to prevent, manage, and resolve ethnic conflicts, territorial disputes, civil wars, and destabilizing humanitarian disasters anywhere on the globe. A collective response can be less costly and more effective, but the United States must be prepared to act unilaterally if necessary.

*The Department of State coordinates interagency policy for national security issues and carries out diplomatic and foreign affairs activities that put policy into practice. State manages alliance relationships and coordinates interagency policy on peacekeeping operations.*

### **STRATEGIES:**

- **Maintain effective working relationships with leading regional states through vigorous diplomacy, backed by strong U.S. and allied military capability to react to regional contingencies.**

*Lead Agencies: State, DOD, Intelligence Community. State provides policy coordination and the diplomatic framework for overall bilateral contacts, including in specialized areas like base access and agreements on use of forces in regional contingencies. (T, Regional Bureaus)*

- **Use defense cooperation, including alliances, military assistance, military-to-military cooperation, defense trade controls, and arms sales, to develop stable bilateral and multilateral security relations and to help prevent, manage, and defuse regional tensions.**

*Lead Agencies: State, DOD. State manages alliances, develops policies on trade control and arms sales, and allocates security assistance. (T, Regional Bureaus)*

- **Prevent and resolve crises, impose sanctions against violators of international norms of behavior, and promote cooperation to decrease the potential for conflict by engaging selectively with the range of U.S. resources from diplomacy to military intervention.**

*Lead Agencies: State, DOD, Intelligence Community. State plays a central role in diplomacy and crisis management, serving as a nerve center for the U.S. Government, and leading diplomatic and humanitarian activities, and protection of American citizens. (S/S-O, T, CA, Regional Bureaus, IO, PRM)*

- **Improve the effectiveness of international peacekeeping, to include establishing the means for flexible, graduated crisis response by regional and multilateral organizations. Build regional peacekeeping alliances. Pay U.S. arrears to the UN.**

*Lead Agency: State. Although this effort must be supported by suitable military forces and arrangements, State has primary responsibility for policy and resources regarding international organizations. (T, IO, Regional Bureaus, H, FMP)*

- **Build a national consensus on U.S. participation in international peacekeeping and crisis management, while developing a more systematic and structured approach for the U.S. Government.**
- **Achieve a ban on antipersonnel landmines consistent with U.S. national security interests and those of its allies.**

*Lead Agencies: State, DOD. State conducts public diplomacy, works with Congress, and participates in international negotiations. (PA, T, Regional Bureaus, IO, H)*

#### **ASSUMPTIONS:**

- Multiple threats of a generally localized nature will continue to involve U.S. interests.
- Primary regional security priorities in the post-Soviet era will remain Europe, along with East Asia and the Middle East.
- Preventive diplomacy and conflict resolution can keep local and regional conflicts from directly threatening U.S. security.
- Addressing the underlying causes of conflict by promoting democracy, successful transitions, and sustainable development contributes to a more stable world and reduces threats to U.S. interests.
- The President will put U.S. forces under foreign operational control only in circumstances where he retains ultimate command.

**INDICATORS:**

- Regional stability/effective working relations maintained.
- Crises prevented, defused, or solved.
- Effectiveness of the UN peacekeeping structure.
- Effectiveness of U.S. crisis management capabilities.
- Assessment of threats to the United States.

## NATIONAL INTEREST: NATIONAL SECURITY

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**GOAL: Eliminate the threat to the United States and its allies from weapons of mass destruction (WMD) and destabilizing conventional arms.**

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The most direct and serious threat to U.S. security is the possibility of conflict involving weapons of mass destruction (WMD). The United States and most nations, both those that possess WMD and those that do not, value the constraint provided by arms control treaty regimes. Of greatest concern are the threshold states and terrorists that seek to acquire WMD. Unbridled acquisition of conventional arms can similarly threaten U.S. interests by destabilizing regional relations.

*State has lead responsibility for nonproliferation policy. It coordinates implementation of that policy regarding individual countries, such as China, and multilateral arrangements, such as the Missile Technology Control Regime.*

### STRATEGIES:

- **Prevent the proliferation of weapons of mass destruction (WMD) and their delivery systems: Reduce incentives to develop such weapons, support and strengthen nonproliferation norms and regimes, take action against violators, control trade in related technologies, and secure excess fissile material from diversion. Where WMD and delivery systems exist outside constraining treaty regimes, limit their destabilizing effects. Stem the flow of scientists and intellectuals to states seeking to acquire these weapons.**

*Lead Agencies: State, DOE, DOD. State leads interagency policy formulation and execution and develops overall nonproliferation policy on nuclear, biological, chemical, and missile proliferation. State leads efforts on nonproliferation regimes and sanctions. Key elements of nonproliferation policies vary from case to case, requiring State to call on a broad spectrum of economic, law enforcement, military, and intelligence agencies for support. State coordinates interagency efforts to help other countries to improve their export control systems. (T, Regional Bureaus, IO, L, INR)*

- **Advance arms control and disarmament processes to reduce nuclear weapons and delivery systems, cap production of weapons-usable fissile material, eliminate biological and chemical weapons threats, achieve an appropriate mix of strategic offensive and defensive forces, apply global controls to inhumane and indiscriminate conventional weapons, promote defense industry conversion to nonmilitary use, and assist in improving the safety of Soviet-designed nuclear reactors.**



*Lead Agencies: State, DOD, DOE. State participates in and at times leads interagency policy formulation and execution processes. Through the Nuclear Risk Reduction Center, State is responsible for the exchange of notifications under the terms of certain treaties. State has statutory responsibility for coordinating international science and technology activities of federal agencies. (T, Regional Bureaus, IO, S/NIS, OES, L)*

- **Develop effective treaty verification regimes, verify compliance, and collect, analyze, and disseminate information, including intelligence on conventional forces, WMD programs and delivery systems, and efforts to acquire them.**

*Lead Agencies: State, DOD, DOE, Intelligence Community. State leads interagency policy formulation and execution for verifying our treaty partners' compliance and participates with DOD in the review of U.S. compliance. With DOD and DOE, State leads efforts to coordinate USG research and development of technologies related to arms control and nonproliferation. State participates in Intelligence Community deliberations, leads interagency efforts to use intelligence to achieve U.S. nonproliferation, arms control, and disarmament objectives, and conducts research and analysis to support these objectives. (T, Regional Bureaus, INR)*

- **Promote regional arms control measures to enhance transparency and confidence, and limit or reduce excessive or destabilizing conventional forces. Use U.S. export controls and other laws and international agreements to control trade in conventional arms and military technology.**

*Lead Agencies: State, Commerce. State leads interagency policy formulation and execution and develops regional policies to reduce the risk of conventional conflict, promote confidence between states, and eliminate potential for WMD proliferation. State leads interagency policy formulation on arms export policy. Coordinating with other agencies, State issues munitions licenses pursuant to the provisions of the International Traffic in Arms Regulations and the Arms Export Control Act. With advice from State, Commerce issues licenses pursuant to the provision of the Export Administration Act. State implements sanctions on transfers of conventional arms and leads U.S. participation in the Wassenaar Agreement. (T, EB, Regional Bureaus)*

#### **ASSUMPTIONS:**

- When the United States cannot fully deny to hostile states the technology for WMD, it can retard the rate at which advanced technologies appear in their arsenals or deter their use.
- Uncertainty about the stability of Russia's military will persist, but Russia will continue to fulfill arms control and nonproliferation commitments.

- Arms control treaties have become increasingly complex and their requirements more intrusive. Negotiation and implementation require high expertise and long-term commitments to implementation and compliance.

**INDICATORS:**

- Treaties signed/implemented/ratified, negotiations started, and dialogues opened.
- Status of regional arms races.
- Progress in securing or disposing of excess fissile material.
- Progress in controlling development, production, and acquisition of stocks of WMD/ Missiles.
- Compliance systematically monitored.
- Verification issues resolved and treaties modified.
- Public opinion of U.S. policy.

## **NATIONAL INTEREST: ECONOMIC PROSPERITY**

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**GOAL: Open foreign markets to free the flow of goods, services, and capital.**

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The successful completion of the Uruguay Round and the establishment of the World Trade Organization (WTO) strengthened the multilateral trade regime and will open important new markets for U.S. trade and investment. But the U.S. Government must still ensure that WTO rules are enforced and that the follow-on agreements to the Uruguay Round are successfully concluded and implemented. Regional agreements will also continue to play an important role in opening markets. With the decline in tariffs and more traditional nontariff barriers, international trade negotiations will need to focus more on new areas such as investment, corruption, technical standards, labor standards, and the environment.

*The Department of State integrates economic and commercial priorities into the policy framework developed for geographic regions and countries within each region. State advances U.S. interests in regional forums, such as APEC and the Summit of the Americas, designed to foster economic prosperity and economic dialogue between member countries. State is an active participant in promoting U.S. economic and commercial interests abroad.*

### **STRATEGIES:**

- **Enforce rules and agreements to identify, eliminate, or reduce foreign trade barriers.**

*Lead Agencies: State, USTR, and Commerce. State enforces trade agreements through the daily activities of Missions overseas and offices in EB and Regional Bureaus. (EB, Regional Bureaus)*

- **Expand scope of regional and multilateral trade and investment arrangements involving the United States.**

*Lead Agencies: State and USTR. State has co-lead on negotiation of bilateral investment treaties (BITs) and on negotiations within the OECD on the Multilateral Agreement on Investment (MAI). (EB, L, Regional Bureaus)*

- **Extend international rules and agreements to new areas such as services, corruption, and core labor standards.**

*Lead Agencies: State, USTR, and Treasury. State leads negotiations within the OECD on corruption, and promotes anticorruption initiatives elsewhere, particularly Latin America. (EB, L, Regional Bureaus)*

- **Integrate emerging economic powers into the world trading system through expanded WTO membership on a commercially meaningful basis.**

*Lead Agencies: State and USTR. EB and Regional Bureaus are involved in inter-agency working groups and delegations involved in WTO accession process. (EB, L, Regional Bureaus)*

- **Achieve full implementation of Uruguay Round agreements.**

*Lead Agency: USTR. EB compiles the annual trade act report, and participates in interagency groups. (EB)*

- **Promote more open markets for all goods and services in developing and transition economies.**

*Lead Agencies: Treasury and AID. EB and S/NIS participate in interagency working groups and discussions with international financial institutions. (EB, S/NIS)*

- **Obtain congressional renewal of trade agreement authority, including Fast Track.**

*Lead Agencies: USTR and OMB. EB and Regional Bureaus participate in interagency efforts, H supports the Administration's legislative strategy with Congress, and PA directs State's public affairs strategy. (EB, Regional Bureaus, H, PA)*

- **Conclude further "Open Skies" Civil Aviation agreements.**

*Lead Agencies: State and Transportation. State heads interagency teams negotiating "Open Skies" and other civil aviation agreements. (EB, L, Regional Bureaus)*

- **Combat foreign corrupt business practices and strengthen the rule of law.**

*Lead Agency: State. State directs USG participation in OECD working group on bribery. (EB, L, Regional Bureaus)*

- **Undertake science and technology agreements, sponsor commissions, and develop international public and private sector cooperation; mobilize resources to devise productive applications of scientific research; increase trade and investment through improvement in Intellectual Property Rights and other measures; and promote business opportunities.**

*Lead Agencies: Commerce, DOE, State. State has statutory responsibility for coordinating the international science and technology activities of federal agencies. (EB, OES, PA)*

#### **ASSUMPTIONS:**

- Major U.S. trading partners will usually share the goal of strengthening multilateral and regional trade initiatives.

#### **INDICATORS:**

- Completion of specific Uruguay Round follow-on agreements, starting with Basic Telecoms and Financial Services.
- Successful use of WTO dispute mechanisms to eliminate foreign trade barriers.
- Conclusion of OECD Multilateral Agreement on Investment, and additional Bilateral Investment and Tax Treaties.
- Share of world trade accounted for by WTO members.
- Agreement on and implementation of antibribery initiatives.
- Conclusion of “Open Skies” agreements.

## NATIONAL INTEREST: ECONOMIC PROSPERITY

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### GOAL: Expand U.S. Exports to \$1.2 trillion by 2000.

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As the world economy becomes more globalized, trade will be increasingly important to the domestic economy and U.S. well-being, particularly in the high technology sectors of the U.S. economy. The 1996 National Export Strategy sets a goal of expanding U.S. exports of goods and services from \$800 billion in 1995 to \$1.2 trillion by 2000.

#### STRATEGIES:

- **Focus U.S. Government advocacy, finance, public diplomacy, and other export promotion efforts on fast-growing, emerging markets (Mexico, Brazil, China, Indonesia, Thailand, Malaysia, Taiwan, Korea, India, Turkey, South Africa).**

*Lead Agencies: Commerce, State, Ex-Im Bank, TDA, OPIC, USDA. State supports the interagency export promotion team at overseas missions. EB participates in interagency deliberations on country credit risk ratings and on financial aspects of export promotion. EB and Regional Bureaus work closely with the Ex-Im Bank to support its export finance activities. (EB, E/CBA, Regional Bureaus)*

- **Maintain export promotion efforts in nontraditional and other markets worldwide as opportunities arise.**

*Lead Agencies: Commerce, State, Ex-Im Bank, TDA, OPIC, USDA. EB and Regional Bureaus work closely with Commerce and Ex-Im Bank to support U.S. export promotion activities. State supports the interagency export promotion team at overseas missions. (EB, E/CBA, Regional Bureaus)*

- **Increase domestic awareness of trade opportunities by reaching out to small and medium-sized firms, and through public outreach strategies.**

*Lead Agencies: Commerce, State, Ex-Im Bank, TDA. As State's "America Desk" E/CBA with EB and Regional Bureau support, maintains extensive contacts with U.S. business. PA oversees public affairs programs (EB, E/CBA, Regional Bureaus, PA)*

- **Support American foreign direct investment as a means of increasing U.S. exports.**

*Lead Agencies: State and USTR, TDA, OPIC. State supports U.S. investors through negotiation and monitoring of investment agreements. EB, E/CBA, and overseas missions provide guidance to potential investors and to resolve investment disputes. (EB, E/CBA, Regional Bureaus)*

#### **ASSUMPTIONS:**

- Annual world economic growth will remain at about 3 percent.
- The value of world trade will expand faster than world economic growth.
- U.S. Government support and advocacy for U.S. business will remain essential to export success.
- Productivity will remain close to its current level.
- Exchange rate changes will not harm global U.S. export levels.
- U.S. domestic policy will promote sound economic growth and maintain U.S. competitiveness in world markets.

#### **INDICATORS:**

- Overall levels of U.S. exports of goods and services.
- Levels of exports to the fastest growing economies.
- Levels of U.S. investment abroad.

## NATIONAL INTEREST: ECONOMIC PROSPERITY

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### **GOAL: Increase global economic growth.**

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**Global macroeconomic conditions will have an increasing impact on the ability of the United States to sustain stable economic growth with low inflation and unemployment. U.S. export, income, and employment levels will benefit from faster growth worldwide.**

#### **STRATEGIES:**

- **Encourage other countries to adopt macroeconomic, trade, investment, exchange rate, legal, and regulatory policies designed to support economic growth.**

*Lead Agencies: Treasury, State, USTR. State provides policy leadership in encouraging economic liberalization. EB supports Treasury efforts in Washington. (EB, E/CBA, Regional Bureaus)*

- **Strengthen international financial institutions to maintain global and regional financial stability.**

*Lead Agency: Treasury. State works with Treasury to ensure that international financial institutions make effective use of U.S. contributions. (EB)*

- **Use international financial institutions to further U.S. foreign policy objectives.**
- **Pay arrears to international financial institutions in order to preserve U.S. leadership and influence.**

*Lead Agencies: State, Treasury. EB and Regional Bureaus provide foreign policy guidance on the programs of international financial institutions. (EB, Regional Bureaus)*

- **Facilitate private international financial flows, especially to transition and developing economies.**

*Lead Agency: Treasury. State provides support through reporting on foreign economic conditions and advocacy on behalf of the U.S. private sector. (EB)*



- **Develop better advance warning mechanisms to avoid financial crises in emerging markets.**

*Lead Agencies: Treasury and AID. EB and Regional Bureaus provide analytical support and policy guidelines to Treasury and AID. (EB, Regional Bureaus.)*

**ASSUMPTIONS:**

- There will not be any severe shocks, such as the energy crisis of the 1970s, that might slow global economic growth.
- Globalization and economic interdependence will continue to increase.
- There will be increased public awareness of foreign investment opportunities.

**INDICATORS:**

- Economic growth rates in developed, transitional, and developing economies.
- Levels of capital inflows to key transitional and developing countries.
- Assessment of financial crisis and economic stability.

## **NATIONAL INTEREST: ECONOMIC PROSPERITY**

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**GOAL: Promote broad-based economic growth in developing and transitional economies.**

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**Americans benefit as the economies of transitional and developing nations expand and their markets open. Economic growth in these countries will reduce poverty and provide economic opportunity. This will contribute to political stability and international cooperation and will ameliorate global problems such as high population growth, the spread of infectious diseases, and environmental degradation.**

*The Department of State, both in Washington, D.C., and at overseas Missions, works with AID, Treasury, and the multilateral development institutions to support and encourage economic growth in developing and transitional countries.*

### **STRATEGIES:**

- **Promote transitions from Socialist to market-based economies throughout the world.**

*Lead Agencies: AID, State, Treasury, TDA, OPIC. State works with other U.S. Government agencies to ensure that bilateral and multilateral development assistance to transition countries is effective, appropriate, and an integral component consistent with overall policy priorities. (S/NIS, EB, IO, Regional Bureaus)*

- **Strengthen markets in transitional and developing nations by supporting policy and institutional reforms, and financial market development.**

*Lead Agencies: AID, State, Treasury. State provides foreign policy guidance to implementing agencies. (S/NIS, EB, Regional Bureaus)*

- **Support nations taking action to improve food security.**

*Lead Agencies: AID, Agriculture, State, Treasury. State ensures that bilateral and multilateral assistance is used effectively consistent with overall policy priorities and coordinates U.S. Government follow-on to the Rome Food Security Summit. (G, IO, EB, Regional Bureaus)*

- **Increase economic opportunities for the poor, including programs that support micro- and small-enterprise development.**

*Lead Agencies: AID, State, Treasury. State works with AID on the bilateral side and Treasury on the multilateral side to develop and support programs designed to assist the poor. (IO, EB, Regional Bureaus)*

- **Support and encourage expanded investments in exchanges, training, education, and other human resource development.**

*Lead Agencies: AID, State, Treasury. State works with other agencies to ensure that human resource development and education are supported in bilateral and multilateral assistance programs. (IO, EB, Regional Bureaus)*

- **Collaborate with other nations and multilateral organizations providing assistance to developing and transition nations in support of transformation to market-oriented democracies.**

*Lead Agencies: AID, State, Treasury. State participates in bilateral and multilateral consultations to coordinate development assistance with other nations and multilateral organizations. (EB, IO, Regional Bureaus)*

#### **ASSUMPTIONS:**

- Developing and transition countries must take responsibility for creating the domestic conditions conducive to economic growth.
- Enhanced global economic conditions will facilitate growth in the transition and developing nations.

#### **INDICATORS:**

- Annual growth rates of developing and transitional nations.
- Per capita GDP.
- Literacy rates.
- Life expectancy.



## **NATIONAL INTEREST: AMERICAN CITIZENS AND U.S. BORDERS**

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**GOAL: Enhance the ability of American citizens to travel and live abroad securely.**

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**Americans will continue to travel and reside abroad in large numbers. When they encounter emergencies they cannot handle on their own (for example, political unrest, natural disasters, accidents, terrorist attacks, crime, illness, or legal problems), they turn to the network of U.S. diplomatic and consular posts for help and protection. The United States cannot prevent the difficult and often tragic situations that arise. It can, however, help ensure that its citizens receive assistance and protection.**

*The Department of State assists Americans who travel and reside abroad by providing a wide variety of consular services as well as citizenship and identity documentation such as passports and reports of birth abroad. When U.S. citizens encounter emergencies, such as political unrest, natural disasters, accidents, terrorist attacks, crime, illness, or legal problems, State officers help ensure that they receive assistance and protection.*

### **STRATEGIES:**

- **Meet rising passport demand and maintain integrity of the system through enhanced use of technology, financed through fee-for-service.**

*Lead Agency: State. CA is: upgrading automated systems; fine-tuning internal workload balance; developing a back-up namecheck system to eliminate downtime delays; installing Appointments Scheduler hardware and software and customer numbering systems where necessary; and introducing photodigitization to improve the security of the document. (CA)*

- **Facilitate public access to information on passports, citizen services, consular information sheets, and announcements and warnings concerning foreign travel.**

*Lead Agency: State. CA coordinates with overseas Missions and Regional Bureaus to compile information on conditions in foreign countries. CA and PA disseminate information to the general public. (CA, PA)*

- **Maintain the U.S. Government's crisis management capability, including after-hours emergency citizen services for the public in the United States and at diplomatic and consular posts abroad, and periodically update post evacuation plans.**

*Lead Agency: State. State coordinates the U.S. Government's response to crises affecting U.S. citizens overseas, including coordination with other governments, the private sector, and NGOs to provide assistance to Americans. (S-S/O, CA, DS, S/CT, EB)*

- **Work closely with other governments to ensure consular protection for U.S. citizens in their countries.**

*Lead Agency: State. CA coordinates closely with overseas Missions to maintain effective working relations with host government officials, including encouraging foreign governments to accede to multilateral treaties and conventions. (CA, L, Regional Bureaus)*

- **Work closely and creatively with Americans living abroad to develop effective communications, especially in locations where diplomatic or consular posts have closed.**

*Lead Agency: State. CA has ongoing relationships with numerous overseas American organizations. It also oversees the organization and maintenance of resident American communities through warden systems and the media at posts abroad. State also engages third countries to protect U.S. citizen interests. (CA, Regional Bureaus)*

#### **ASSUMPTIONS:**

- Passport demand, at a record six million in 1996, will grow by 7%–9% annually between 1997 and 2000.
- The American public will continue to demand a high level of service from U.S. passport agencies and diplomatic and consular posts.
- Advances in technology will improve security and efficiency of passport operations.
- International crises and incidents will often involve Americans overseas.
- Americans occasionally will be singled out as targets because of their nationality.

#### **INDICATORS:**

- Efficiency and accuracy of passport issuance and namecheck systems.
- Availability and levels of use of consular information systems for internal communications and public access.
- Assessment of comments made by citizens regarding quality of service.
- Agreements with foreign governments and others that enhance service, emergency response, and protection of American citizens.
- Post-crisis reviews of U.S. Government agencies' performance.

## **NATIONAL INTEREST: AMERICAN CITIZENS AND U.S. BORDERS**

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**GOAL: Control how immigrants and foreign visitors enter and remain in the United States.**

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**By administering its immigration laws fairly and effectively, the United States provides for the lawful entry of foreign nationals and assists eligible persons who wish to immigrate to or visit the United States in pursuit of business, tourism, educational or employment opportunities. At the same time, the United States must deter illegal immigration by enforcing immigration laws, especially for aliens who may have links to terrorism, narcotics trafficking, or organized crime.**

*The Department of State shares responsibility with the Department of Justice/INS for administering U.S. immigration laws fairly and effectively. U.S. consular officers provide for the lawful entry of persons who seek to enter the United States either temporarily or as immigrants. Consular screening helps deter illegal immigration and prevent the entry into the United States of terrorists, narcotics traffickers, and other criminals.*

### **STRATEGIES:**

- **Facilitate travel of eligible foreign nationals to the United States.**

*Lead Agency: State. CA, in coordination with A/FBO, FSI and overseas Missions, is developing new techniques to streamline consular workload and visa issuance. (CA, A/FBO, FSI)*

- **Impede travel of ineligible foreign nationals by denying them visas.**

*Lead Agencies: State, Justice, INS. Consular officers at overseas Missions, utilizing computerized namecheck database systems evaluate visa applicants. CA and overseas Missions coordinate applicant information with INS and law enforcement agencies when necessary. (CA, A/IM)*

- **Employ techniques and technologies, such as machine-readable documents, biometric indicators, and sophisticated namechecks to expedite lawful entry, identify criminals and terrorists, and inhibit illegal immigration.**
- **Coordinate border security efforts and establish database links among visa posts abroad, U.S. ports-of-entry, INS offices, and other law enforcement agencies.**

*Lead Agencies: State, Justice. Close cooperation and sharing of information between State and domestic law enforcement agencies, such as INS, the FBI, and Customs, is an indispensable element in protecting America's borders. State is working with these other agencies to share data on potentially ineligible aliens as well as immigrant and non-*

*immigrant visa issuance data. State has established on-line connectivity between the Washington mainframe and all overseas posts. (CA, A/IM, DS, INR, DTS-PO)*

- **Work with other governments on migration issues of common concern.**

*Lead Agency: State. State leads U.S. efforts to develop collective solutions to migration problems, including respect for migrants' rights and addressing illegal migration flows. (PRM, INL)*

- **Combat fraud by increasing the security features of U.S. passports and visas and investigating aggressively cases of passport and visa fraud.**

*Lead Agency: State. State seeks continuous improvements in the design of U.S. passports and visas to guard against their fraudulent use or counterfeiting. State works with the Department of Justice to prosecute violations. (CA, DS)*

- **Secure a permanent Visa Waiver Program and concentrate resources where workload is growing the most and border security threats are the highest.**

*Lead Agency: State. The Visa Waiver Program permits limited resources to be redeployed from low-fraud locations to meet high-priority requirements elsewhere. Countries which meet the legislatively mandated requirements for the program are reviewed by the Department of Justice in consultation with State. Once countries have qualified to participate in the VWP, State follows up with foreign governments to ensure that they continue to meet the requirements of the program. (CA, H, L)*

- **Administer refugee admission programs humanely and equitably.**

*Lead Agency: State. State coordinates domestic consultations on admissions numbers and allocations. Once the levels are established, State administers the programs in conjunction with the Departments of Justice and Health and Human Services. (PRM, H)*

- **Administer U.S. asylum policies fairly in accordance with international law.**

*Lead Agency: Justice, INS. State provides background information to assist INS in adjudicating asylum requests. (PRM, DRL)*

#### **ASSUMPTIONS:**

- The United States will remain a desirable destination for immigrants and visitors from throughout the world. Applications for nonimmigrant visas will increase by 3%–5% per year between 1997 and 2000.
- Regions of political, social, and economic unrest frequently generate migratory pressure.
- There will be continued efforts to create fraudulent U.S. entry documents which pose a serious threat to national security.



- Many would-be immigrants unable to qualify under U.S. immigration laws will resort to illegal methods to enter the country.

**INDICATORS:**

- Waiting times for visa, immigration, and customs services.
- Assessment of intercepted fraudulent documents.
- Number of prosecutions of fraud vendors and alien smugglers and jail sentences.
- Efficiency and effectiveness of immigration enforcement efforts.
- Fees charged by alien smugglers.
- Denials of asylum claims and challenges to them.



## **NATIONAL INTEREST: LAW ENFORCEMENT**

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**GOAL: Minimize the impact of international crime on the United States and its citizens.**

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**The recent expansion and increasing sophistication of transnational crime represents a growing threat to the property and well-being of American citizens. In consequence, the traditional distinction between “domestic” and “foreign” has eroded, and effective international law enforcement has become essential.**

*The Department of State conducts relations with foreign governments and multilateral organizations to create a global response to the threat of transnational organized crime. State also coordinates U.S. activities under the authority of the Chief of Mission directed against transnational organized crime. State is directly responsible for implementing the International Narcotics Control program with foreign assistance funds to assist selected foreign government criminal justice and law enforcement agencies.*

### **STRATEGIES:**

- **Increase actions by governments to combat money laundering and other financial crimes, alien smuggling, drug trafficking, trafficking in stolen vehicles, and other forms of transnational crime.**

*Lead Agencies: State, Justice, Treasury. State provides policy coordination and the diplomatic framework for bilateral and multilateral relations with foreign governments. (INL, L, Regional Bureaus, IO, DS)*

- **Develop international communication and cooperation to combat transnational crime, negotiation of mutual legal assistance and other agreements, multilateral task forces and support for effective international agencies.**

*Lead Agencies: State, Justice, Treasury. State provides policy coordination and the diplomatic framework for working with foreign governments and multilateral organizations. (INL, L, IO, Regional Bureaus, DS, PA)*

- **Collaborate with foreign law enforcement and judicial authorities, to support U.S. law enforcement abroad, identify and dismantle transnational criminal organizations, seize assets, and prosecute, convict, and incarcerate offenders.**

*Lead Agencies: State, Justice, Treasury. State provides policy guidance and diplomatic support to law enforcement agencies, including coordination with overseas Missions. (INL, L, Regional Bureaus, DS)*

- **Provide assistance and training, and encourage support by other donors to improve criminal justice institutions of emerging democracies and developing countries.**

*Lead Agencies: State, Justice, Treasury, AID, regulatory and enforcement agencies. State provides policy definition and funding for criminal justice sector institutional development, including U.S. assistance to foreign law enforcement agencies in support of foreign policy goals. (INL, Regional Bureaus, IO, DS, DRL)*

- **Collect, analyze, and disseminate intelligence worldwide regarding money laundering, other financial crimes, alien smuggling, trafficking in stolen vehicles and other contraband, illegal firearms trafficking, and other forms of transnational crime.**

*Lead Agencies: Intelligence Community, State, Justice, Treasury. State provides coordination with intelligence and other agencies to secure intelligence on transnational crime that is complete, thoroughly analyzed, and available to policy and enforcement agencies. (INL, INR, DS, L)*

#### **ASSUMPTIONS:**

- Transnational crime is undergoing a significant evolution, particularly with the appearance on the world scene of criminal organizations from Russia, Asia, and elsewhere.
- Increasingly, foreign criminals will seek opportunities in the United States, and American criminals will seek opportunities abroad.
- Improving the criminal justice systems of foreign governments will contribute to their ability to control their own crime problems and to work with the U.S. on international crime issues.

#### **INDICATORS:**

- Foreign government adherence to its own legislation, or other commitments to take action against transnational crime.
- Crime statistics and intelligence estimates indicating extent of domestic criminal activity linked to international criminal groups.
- Evaluation of U.S. Government and foreign law enforcement efforts to disrupt the operations of major international criminal organizations, including indictments, convictions, and asset seizures.
- Level of U.S. and foreign public awareness of international crime developments and measures they can take to address these problems.

## **NATIONAL INTEREST: LAW ENFORCEMENT**

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**GOAL: Reduce significantly from 1997 levels the entry of illegal drugs into the United States.**

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**Most illegal narcotics consumed in the United States come from abroad. Control of this foreign supply must complement efforts to reduce drug use and its harmful consequences in the United States. Although the problems of illegal narcotics both in the United States and abroad have critical social and economic dimensions, U.S. international counternarcotics activities are predominately focused on law enforcement.**

*The Department of State coordinates implementation of those elements of the National Drug Control Strategy that entail relations with or actions by foreign governments, or activities outside the United States subject to the authority of chiefs of U.S. diplomatic Missions. These include reducing production, trafficking, and abuse of illicit drugs. State is directly responsible for implementing the International Narcotics Control program, with funds appropriated under the Foreign Assistance Act to assist foreign institutions responsible for development and implementation of drug control activities.*

### **STRATEGIES:**

- **Establish specific targets for worldwide reduction or elimination of the cultivation, production, and commercial-scale import of cocaine, opium, heroin, marijuana, methamphetamine, and other illicit drugs or substances of abuse.**

*Lead Agency: ONDCP. U.S. Government targets are defined by the National Drug Control Strategy with contributions from State and other drug control agencies.*

- **Implement a balanced approach to interdict illegal narcotics.**
- **Significantly reduce cultivation of coca, opium, and marijuana, particularly when destined for the United States; limit production and import of other illegal drugs, precursor chemicals, and diverted controlled substances.**

*Lead Agencies: State, ONDCP, AID, Justice/DEA. State provides policy development and funding for projects to reduce drug crops by alternative development, eradication or other means, and promotes similar projects by other bilateral or multilateral donors, particularly in source countries where U.S. bilateral access is limited. (INL, Regional Bureaus, IO)*

- **Increase foreign political will through the annual Narcotics Certification process and other means. Build multilateral alliances and develop insitutional capabilities of governments and multilateral organizations to combat all aspects of illicit drug production, trafficking and abuse.**

*Lead Agencies: State, Justice, ONDCP, drug law enforcement agencies (DLEAs), DOD, domestic demand reduction agencies. State provides policy definition and funds projects for institutional development. (INL, Regional Bureaus, IO)*

- **Collaborate with foreign governments and international organizations to disrupt and dismantle drug trafficking organizations, seize assets, and investigate, arrest, prosecute, and incarcerate their leaders.**

*Lead Agencies: State, Intelligence Community, Justice, DLEAs, ONDCP. State provides policy guidance, diplomatic support to law enforcement agencies, including coordination with overseas Missions, and funding for assistance to foreign drug enforcement institutions. (INL, L, Regional Bureaus, DS)*

- **Support the protection of U.S. air, sea, and land borders from importation of illegal drugs.**

*Lead Agencies: State, Justice, U.S. Interdiction Coordinator, ONDCP, Customs, Coast Guard, DOD, DLEA's. State provides policy coordination and diplomatic contact with foreign governments in interdiction transit zones, and promotes policies in multilateral drug agencies compatible with interdiction goals. (INL, L, IO, ARA)*

- **Collect, analyze, and disseminate intelligence worldwide regarding drug production, trafficking organizations, and the availability and abuse of illegal drugs.**

*Lead Agencies: Justice, Intelligence Community, State, other DLEAs. State provides policy guidance to, and coordination with, intelligence and other agencies. (INL, INR, L)*

#### **ASSUMPTIONS:**

- In order to reduce the entry of illegal drugs into the United States, it is necessary to reduce foreign production.
- The supply of illegal narcotics from abroad responds to demand from the United States.
- Although foreign governments have an interest in counternarcotics cooperation with the United States, limited institutional capacity, along with social, political, and economic factors—including corruption—will remain major constraints.

- The Western Hemisphere will remain the major foreign source of most illegal drugs, with the Mexican-U.S. border and Puerto Rico the major entry points.

**INDICATORS:**

- USG estimates of foreign cultivation of coca, opium, and marijuana.
- USG assessment of international routes and methods of drug shipment.
- Disruption of drug group activities, as shown by indictments, prosecutions, convictions, asset seizures, and other law enforcement data.
- Foreign government compliance with international counternarcotics obligations, including adherence to the 1988 UN Drug Convention.
- Extent of foreign government implementation of national drug control policies and counternarcotics activities.
- Quantities of illicit drugs and precursor chemicals that leave source countries.

## NATIONAL INTEREST: LAW ENFORCEMENT

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**GOAL: Reduce international terrorist attacks, especially on the United States and its citizens.**

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**In recent years, international terrorism has entered more directly into the lives of Americans and continues to threaten U.S. interests globally. To minimize terrorist threats, the United States must make significant and well-coordinated use of diplomatic, intelligence, law enforcement, and military assets.**

*The Department of State is the lead agency for policy and interagency coordination of U.S. assets against terrorism abroad. Within the United States, State supports the Department of Justice.*

### STRATEGIES:

- **Deter, warn against, respond promptly to, and defeat all terrorist threats or attacks on U.S. interests at home and abroad.**

*Lead Agencies: State, Justice/FBI, DOD, Intelligence Community. To combat terrorism abroad, State promotes strong USG policies. In terrorism contingencies, State provides leadership and policy coordination, working with U.S. Intelligence, law enforcement, and other agencies, and, as necessary, military capabilities. If requested by a Chief of Mission, a State-led interagency Emergency Support Team may deploy within hours to offer advice, support, and special counterterrorism capabilities. State provides security for diplomatic Missions abroad, and for senior foreign visiting dignitaries. (S/CT, INR, L, CA, DS, Regional Bureaus, PA)*

- **Defend against threats or the actual use of Weapons of Mass Destruction by terrorists.**

*Lead Agencies: State, DOD, Energy, Federal Emergency Management Agency, CIA, FBI, Health and Human Services. To minimize potential terrorist WMD threats, State will promote WMD nonproliferation and adherence by foreign governments to relevant treaties and conventions. State participates in interagency exercises held periodically to prepare for contingencies. Increased emphasis is to be given to consequence management planning for terrorist use of WMD. (S/CT, T, L, INR, Overseas Missions)*

- **Maintain the U.S. Government policy of making no concessions to terrorists.**

*Lead Agencies: State, Justice/FBI, Treasury. State firmly supports the principle of no concessions to terrorists. State, in consultations with Justice, Treasury, and CIA, designates foreign terrorist organizations worldwide. (S/CT, L, INR, Overseas Missions)*



- **Maintain pressure on and isolate state sponsors of terrorism.**

*Lead Agency: State. State closely monitors national and international sanctions against state sponsors of terrorism and urges their strict enforcement. State presses state sponsors to abandon their support for terrorism, and presses third countries not to deal with state sponsors on normal terms. (S/CT, L, INR, T, Regional Bureaus, PA)*

- **Investigate and prosecute terrorist suspects; work with friendly foreign governments to share intelligence, facilitate investigations, and extradite terrorists; strengthen domestic and international law; and combat terrorist funding.**

*Lead Agencies: Justice/FBI, State, CIA, Treasury. When terrorist suspects are identified and located abroad, State seeks host government cooperation in extradition or rendition of the suspects for U.S. prosecution. State provides policy guidance for Treasury to regulate, monitor, and control fundraising that is intended for terrorist organizations or purposes. (S/CT, DS, L, INR, Regional Bureaus)*

- **Intensify intelligence collection and analysis; provide training to foreign governments in counterterrorism, communications security, and aviation security; maintain the readiness of U.S. counterterrorism personnel; and increase R&D in counterterrorism technology.**

*Lead Agencies: State, CIA, DOD, Federal Aviation Administration. State contributes to intensifying terrorism collection and analysis. Within State, S/CT provides policy guidance and DS implements the Anti-Terrorism Assistance training program for foreign governments, with support from FAA, FBI, Customs, INS, and ATF. S/CT will plan a schedule of interagency counterterrorism exercises. State and DOD operate and fund a working group on research and development of counterterrorism technology applications. (S/CT, DS, INR)*

#### **ASSUMPTIONS:**

- U.S. officials, facilities, and citizens will remain high-priority targets of terrorists.
- International cooperation to combat terrorism will continue to increase.
- State support for terrorism will continue to decline, but the number of unaffiliated, ad hoc, and new terrorists will increase. Religiously motivated and sectarian terror will grow.
- The number of international terrorist incidents will continue to decline, but terrorists will seek to increase casualties and damage by using more lethal explosives.
- The danger that terrorists will employ chemical, biological, or nuclear materiel will grow.

- Terrorists will attack less-protected targets, including vulnerable communications systems and infrastructure.

**INDICATORS:**

- Trends in international terrorism worldwide, including attacks against American targets, and the number of casualties.
- Evaluation of U.S. Government counterterrorism programs.
- Accession to and use of international treaties on terrorist crimes, including prosecution, extradition, and mutual legal assistance obligations.
- Terrorists incidents prevented.

## **NATIONAL INTEREST: DEMOCRACY**

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**GOAL: Increase foreign government adherence to democratic practices and respect for human rights.**

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**A world of democratic nations provides a more stable and secure global arena in which to advance U.S. objectives. Advancing U.S. interests in the post-cold war world will often require efforts to support democratic transitions as well as to address human rights disasters and democratic reversals. Promotion of democracy and human rights, including the rights of women and minorities, reflects the fundamental values of the American people.**

*The Department of State provides leadership and coordination for U.S. policy related to the advancement of democracy and the promotion of human rights. State conducts relations with foreign governments and multilateral organizations to promote democratization and human rights. It coordinates implementation of activities of U.S. agencies that provide assistance toward that objective, including activities related to conflict prevention and resolution. State publishes analyses of human rights conditions in foreign countries. State allocates Economic Support Funds (ESF) for building democracy in countries in transition to democracy and manages such funds as may be appropriated under the Foreign Assistance Act for the Democracy and Human Rights Fund and for other programs. State consults extensively with nongovernmental organizations on democracy promotion.*

### **STRATEGIES:**

- **Support democratic transitions, especially in regions and countries of importance to the United States.**

*Lead Agencies: State, AID, DOD, Justice. State provides overall policy direction and coordination for USG support to countries in transition to democracy, and for democratic forces in nondemocratic countries of concern. State sets the diplomatic framework for efforts to promote democracy and directs Economic Support Funds (ESF) to countries and regions of emphasis. (DRL, S/NIS, EUR/EEA, Regional Bureaus, PA)*

- **Build, strengthen, and employ international forums to secure democratic transitions, prevent conflict, promote human rights, including labor rights, and support multilateral sanctions. Promote development of national and multilateral institutions for the promotion of human rights and the rule of law.**

*Lead Agency: State. State provides policy leadership and representation in international organizations to support human rights and democracy activities. State conducts outreach with key nongovernmental organizations working to strengthen human rights and democracy. (DRL, IO, EB, Regional Bureaus)*

- **Support respect for human rights globally and intervene in selected human rights cases.**

*Lead Agencies: State, AID, DOD. State leads activities to advance human rights and democracy through bilateral and multilateral diplomacy, the formulation of broad new initiatives, and publishing the annual Human Rights Report. (DRL, IO, T, Regional Bureaus, PA)*

- **Support democratic transitions through bilateral and multilateral assistance and exchanges, broadcast, and informational programs to establish and consolidate: competitive political processes, including free and fair elections; politically active civil societies, enhanced women's political participation, free media, representative labor movements, and other pluralistic organizations; transparent and accountable government institutions; the rule of law, including neutral and professional law enforcement; and commitment to human rights.**

*Lead Agencies: AID, State, USIA. State is a decisionmaking partner at key points in the assistance process. State leads in development of requests for and allocation of Economic Support Funds to countries where assistance policies are politically sensitive and/or closely tied to bilateral and regional short-term foreign policy requirements. (DRL, Regional Bureaus)*

#### **ASSUMPTIONS:**

- The international environment will increasingly favor democracy, leading governments to profess democratic principles, but democratic practices will vary, depending in particular on the will and intentions of leaders.
- The transition and consolidation of democracy varies from state to state, but international influence can be crucial to the outcome.
- U.S. pursuit of democratic transitions in certain countries and circumstances will be subject to countervailing influences and interests.

#### **INDICATORS:**

- Evaluations of elections and other aspects of democratic transitions as measured by USG, NGO, and international assessments.
- Evaluations of human rights practices and actions to prevent or mitigate human rights abuses.

- Evaluations of the status of threatened populations, including religious and other minorities.
- Adherence to international obligations and standards as measured by conformity to human rights, labor, political, and other conventions.
- International media coverage of human rights issues.
- International public opinion surveys.



## **NATIONAL INTEREST: HUMANITARIAN RESPONSE**

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**GOAL: Prevent or minimize the human costs of conflict and natural disasters.**

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**American values mandate offering assistance and international leadership to help alleviate human suffering from crises, whether man-made or natural, even when there may be no direct or indirect threat to U.S. security interests.**

*The Department of State is the hub for coordinating USG response to humanitarian crises. In the event of a humanitarian crisis State initiates decision-making in Washington, communicates with other donors in capitals and international forum, and coordinates implementation in the field on all issues ranging from preventative diplomacy to peacekeeping.*

### **STRATEGIES:**

- **Maintain a USG emergency response assessment capability, enabled to ensure protection and relief for refugees and victims of natural disasters.**

*Lead Agencies: State, AID, DOD. State works with AID on humanitarian assistance coordination. State also participates in international forums that define and protect the rights of refugees, and in bilateral and multilateral advocacy of these rights. (PRM, IO, Regional Bureaus, PA)*

- **Ensure that international organizations have adequate emergency response capabilities and strengthen partnerships with NGOs and PVOs to build their capacity to address humanitarian crises.**

*Lead Agencies: State, AID. State participates in governing bodies of relevant international institutions and provides funding to selected NGOs and Private Voluntary Organizations. (PRM, IO, Regional Bureaus)*

- **Preposition food stocks and develop food security in areas of chronic shortage, particularly Africa.**

*Lead Agencies: USDA, AID. State coordinates refugee-related feeding operations through the World Food Program and monitors field reporting and other sources to identify developing food shortages. (PRM, IO, Regional Bureaus)*

- **Identify and assist vulnerable states to prevent conflict or dissension leading to humanitarian crisis; assist countries in transition from crisis.**

*Lead Agency: State. State coordinates Washington decisionmaking and response; communicates with other capitals, IFIs, NGOs; implements recommendations in conjunction with Missions in the field; and leads preventative diplomacy. (PRM, IO, Regional Bureaus)*

- **Meet urgent needs in crisis situations including security arrangements for vulnerable populations.**
- **Reduce the impact of natural disasters.**

*Lead Agencies: AID, DOD. State supports international efforts to develop international response capabilities (“White Helmets”). (PRM, IO)*

- **Support demining programs, particularly when they facilitate the reintegration of refugees and displaced persons.**

*Lead Agencies: State, DOD. In coordination with DOD, State allocates Foreign Operations Program Funds for multilateral demining assistance. (T, PRM, IO, Regional Bureaus)*

#### **ASSUMPTIONS:**

- In some instances preventive diplomacy can avoid conflict and avert humanitarian crises.
- U.S. leadership in response to crises will leverage the international participation and the support of other donors.
- International media coverage will impact public opinion.
- The extent of conflict, and the degree to which the environment is permissive or conflictive, will determine the nature of international response.
- In some instances peacekeeping operations will be necessary to stabilize a situation and permit the delivery of relief supplies.

#### **INDICATORS:**

- Conflicts and humanitarian crises averted.
- Humanitarian emergencies alleviated.
- Assessments of International Organizations and NGO/PVO humanitarian crisis response management.



- Refugee populations reduced through local integration, repatriation, and resettlement.
- Evaluations of transition assistance efforts.
- Status of demining efforts.
- Public and NGO involvement in addressing crises.



## **NATIONAL INTEREST: GLOBAL ISSUES**

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**GOAL: Secure a sustainable global environment in order to protect the United States and its citizens from the effects of international environmental degradation.**

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**The global environment has a profound impact on the United States. Pollution crosses borders and oceans, affecting the health and prosperity of Americans. Competition for natural resources can lead to instability and conflict, threatening political, economic, and other U.S. interests. Americans care deeply about the environment and demand action to protect it. U.S. leadership is essential to resolving environmental problems that require global and regional solutions. Given the magnitude and complexity of this undertaking, the participation of the private sector and NGOs is essential.**

*The Department of State is responsible for developing the foreign policy framework for international environmental policy and coordinating the environmental activities of U.S. agencies overseas. Working both bilaterally and through multilateral organizations, State builds effective bilateral and multilateral relationships to promote environmental collaboration and address transboundary environmental problems. State is also responsible for negotiating international environmental agreements and treaties.*

### **STRATEGIES:**

- **Conclude key multilateral negotiations, giving priority to climate change, toxic chemicals, sustainable forestry, and biosafety.**

*Lead Agency: State. State leads negotiation of international agreements and treaties, and obtains accession by other countries to environmental agreements. (OES, L, Regional Bureaus, IO)*

- **Improve the implementation of international oceans and environmental commitments and treaties, focusing on policies and mechanisms to improve compliance.**

*Lead Agency: State. State works with EPA, NOAA, Justice, Coast Guard, and other USG agencies to address treaty violations, and to find ways to strengthen compliance with international agreements. (OES, L, Regional Bureaus, H)*

- **Strengthen bilateral dialogues with key countries, focusing on China, Russia, Brazil, India, Japan, Canada, Mexico, the United Kingdom, Germany, and the European Union.**

*Lead Agency: State. State establishes the policy basis and strategies for bilateral environmental initiatives, including incorporation of environmental issues into bilateral and regional agendas. (OES, Regional Bureaus, PA)*

- **Establish more regular channels of communication with the business sector, NGOs, and the American public on international environmental issues.**

*Lead Agency: State. State has recently recognized the need for greater outreach to the American public to gain support for the USG's environmental policies. (OES, PA)*

- **Improve coordination with countries and international financial institutions that provide development assistance in the environmental area.**

*Lead Agencies: Treasury, State, AID. State plays a key role in shaping environmentally responsible lending policies and practices. (EB, OES)*

- **Reform and reinvigorate UN institutions and mechanisms to more effectively address international environmental problems.**

*Lead Agency: State. State formulates USG policy pertaining to UN agencies, and organizations. (OES, IO)*

- **Use bilateral assistance to improve the capabilities of developing countries to reduce environmental degradation.**

*Lead Agencies: AID, State. State develops overall foreign policy guidance and priorities on the international environment, including goals for reducing environmental degradation. State also integrates sustainable development into overall environmental strategies in the conduct of bilateral relations. (OES, Regional Bureaus)*

- **Promote regional cooperation on transboundary environmental issues in every region of the world.**

*Lead Agencies: State, AID. State establishes regional environmental goals and priorities. Regional bureaus identify ways in which bilateral relationships and regional mechanisms can be used to promote regional agenda. (OES, Regional Bureaus)*

- **Conclude Science & Technology agreements and participate in international commissions to further scientific cooperation on environmental issues, such as setting climate change standards; further productive applications of environmental research; and to strengthen international commitments to environmentally sustainable development.**

*Lead Agencies: EPA, State. State has statutory responsibility for coordinating the international science and technology activities of federal agencies. (OES)*

#### **ASSUMPTIONS:**

- Actions in the United States and several other key countries have a disproportionate impact on the global environment.
- Effective UN environmental agencies can help countries improve environmental policies and practices.
- Compliance with multilateral treaties will improve the global environment.
- Public awareness of environmental issues will increase.

#### **INDICATORS:**

- Status of multilateral environmental treaties and other agreements.
- Rate of increase in atmospheric greenhouse gas concentrations in the atmosphere.
- Status of the ozone layer.
- Bilateral, multilateral, and nongovernmental environmental cooperation.
- Levels of world fish stocks and forests.
- Public opinion about global environmental measures.

## NATIONAL INTEREST: GLOBAL ISSUES

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### **GOAL: Stabilize world population growth.**

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**Stabilizing population growth is vital to U.S. interests. Economic and social progress in other countries can be undermined by rapid population growth, which overburdens the quality and availability of public services, limits employment opportunities, and contributes to environmental degradation. Not only will early stabilization of the world's population promote environmentally sustainable economic development in other countries, but it will also benefit the U.S. by improving trade opportunities and mitigating future global crises. There is now broad international consensus on the need for a comprehensive approach to population stabilization which, along with family planning services, incorporates reproductive rights and other components of reproductive health, women's socio-economic and educational status, and the special needs of adolescents.**

*The Department of State plays a crucial role in developing a receptive political environment for the implementation of progressive population programs and related social programs. Policy coordination, public diplomacy, bilateral and multilateral advocacy, and coordination of international efforts are all vital State contributions.*

### **STRATEGIES:**

- **Promote the rights of couples and individuals to determine freely and responsibly the number and spacing of their children.**

*Lead Agencies: State, AID. State promotes international adherence to this basic reproduction right through various intergovernmental forums, dialogue, agreements, or other consensus documents. (PRM, IO)*

- **Provide leadership on international population policy matters and foster international cooperation.**

*Lead Agency: State. State leads interagency efforts to intensify policy attention to international population issues; strengthens cooperation and policy coordination within the USG (PRM)*

- **Support programs to achieve universal access to family planning, maternal health, and other reproductive health services by 2015.**

*Lead Agencies: AID, State. State coordinates bilateral and multilateral efforts to develop the political commitment. (PRM, Regional Bureaus, IO)*

- **Improve the policy environment in which population programs are developed and implemented, including policies and programs to enhance the socio-economic and political status of women and expand opportunities for youth.**

*Lead Agencies: AID, State. State participates in various bilateral and multilateral forums, and facilitates the work of U.S. NGOs involved in these issues. (PRM, IO, Office of the Senior Coordinator for Women, Regional Bureaus)*

- **Foster an enabling environment for involvement of civil society in population and development activities.**

*Lead Agencies: State, AID. State leads USG outreach efforts to create and sustain the overall political climate in which NGOs and private citizens can fully participate. (PRM, DRL, Regional Bureaus, PA)*

#### **ASSUMPTIONS:**

- Existing broad international support for population stabilization efforts is maintained.
- Current congressional restrictions on U.S. population assistance are lifted.
- National and international commitments to basic education and economic opportunity programs for women and girls continue to increase.
- Other donors (multilateral, national, and private) expand investments in population-related activities.

#### **INDICATORS:**

- Fertility rates.
- Contraceptive prevalence rates.
- Maternal and infant mortality and morbidity rates.
- Girls' education rates.

## NATIONAL INTEREST: GLOBAL ISSUES

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**GOAL: Protect human health and reduce the spread of infectious diseases.**

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The United States has direct interest in safeguarding the health of Americans and in reducing the negative consequences of disease worldwide. The spread of epidemics can directly threaten public health in the United States. Unhealthy conditions elsewhere in the world increase the incidence of disease, increase human suffering, and retard development.

*The Department of State participates in an interagency Task Force on Emerging Infections to coordinate development of a global surveillance and response network for infectious disease. State's role lies primarily in public advocacy and international coordination.*

### STRATEGIES:

- **Encourage investment in basic health in developing nations.**

*Lead Agencies: State, AID. State coordinates with U.S. agencies to raise public awareness and for seeking the political and financial commitment by other governments and international institutions in meeting the challenges of infectious diseases. (OES, PA)*

- **Control epidemic and mortal diseases.**

*Lead Agencies: AID, HHS/CDC.*

- **Expand environmental health programs and strengthen public health infrastructure to combat emerging and reemerging diseases.**

*Lead Agencies: AID, HHS.*

- **Focus on child survival in target countries.**

*Lead Agencies: AID, HHS.*

- **Support NGO/PVO capacity to improve health delivery systems.**

*Lead Agency: AID.*



- **Increase international cooperation for prevention, surveillance and response to infectious diseases.**

*Lead Agency: State. State is responsible for raising public awareness and for seeking the political and financial commitment by other governments and international institutions in meeting the challenges of infectious diseases. State works with AID, HHS, and DOD to carry this message. (OES, Regional Bureaus, IO, PA)*

- **Promote international communication and cooperation to fight disease by promoting and sponsoring scientific research and the application of new medical treatments through bilateral and multilateral organizations.**

*Lead Agencies: HHS/CDC, AID, State. State has statutory responsibility for coordinating the international science and technology activities of federal agencies. (OES)*

#### **ASSUMPTIONS:**

- NGOs, PVOs and multilateral development institutions will play increasingly important roles in combating disease, but USG contributions will remain essential.
- Without U.S. leadership, global disease surveillance and response capacity will effectively not expand.

#### **INDICATORS:**

- Mortality rates.
- Number of epidemics and disease mortality rates.
- Rates of illness/death by disease.
- Disease outbreak response capabilities and performance.



## DEPARTMENT OF STATE DIPLOMATIC READINESS OVERVIEW

The ability of the Department of State to advance the foreign policy interests of the United States—including supporting the overseas roles of the other USG agencies represented abroad—depends upon the quality of State’s personnel, technologies, and infrastructure. Diplomatic Readiness, a core responsibility of State, is the strategic asset that enables State to carry out its mission.

The essential link between the USG’s foreign policy goals and Diplomatic Readiness is best demonstrated by a few examples. For instance, the whole range of our relations with China—whether the issue is trade, human rights, or nonproliferation—is affected by our ability to staff the embassy in Beijing and the consulates in other Chinese cities with representatives who know Chinese politics, culture, and language; work in offices (and live in housing) that are comfortable and safe; and report to Washington through reliable and secure communications. Similarly, the success of the USG’s efforts to promote democracy and free market economies in the republics of the former Soviet Union depends upon the quality and training of the personnel who serve there and the simple availability in their offices and homes of heat, running water, and electricity—basics we take for granted in the United States but which have required much effort on State’s part to deliver in those posts. Other strategic goals, including protecting American citizens abroad and pursuing law enforcement objectives, require an information technology infrastructure that permits timely datasharing with other agencies and the production of high-technology passports, visas, and other documents criminals are hard-pressed to counterfeit.

It is Diplomatic Readiness that makes all of these things happen. Diplomatic Readiness requires a high-performance organization: the right people, with the right skills and support, in the right places, to defend national security and promote national interests. At any time, around the world, U.S. representatives are engaged in negotiating treaties, responding to crises, carrying out high-level official visits, observing foreign elections, promoting American exports, providing relief to victims of natural disasters, assisting American citizens in emergencies, enhancing border security, and managing overseas Missions. The Embassies, Consulates, and other posts that State manages are the principal platforms for the activities of the U.S. Government around the world. It is from these Missions that the Ambassador and the Country Team coordinate and carry out their activities, and represent the United States to the world.

The three principal components of Diplomatic Readiness are:

**Human Resources:** Employees with the foreign language, diplomatic, professional, and technical skills essential to represent the United States overseas, build effective working relationships with international counterparts, exercise foreign policy leadership, and provide operational support for the conduct of foreign affairs.

**Information:** Information resource management, information systems, and highly skilled personnel to efficiently collect, analyze, and communicate information for the conduct of foreign policy and efficient operations.

**Infrastructure and Operations:** Cost-effective and well-maintained domestic and overseas facilities, along with the management, logistical, and security systems essential to support a world-wide network of posts and people.

The Department of State has longstanding problems in each of these areas. To maintain and improve our Diplomatic Readiness, State will focus on a few critical management strategies:

**Improved Management Systems and Technology Investment:**

- Continuous improvement of administrative and management systems to deliver essential services, while achieving savings and efficiencies through reengineering and streamlining key processes;
- Capital investment programs that ensure timely acquisition of infrastructure and up-to-date technology;
- Training and recruitment programs that ensure both new and current employees have, or are able to acquire, the professional, administrative, technical, and information systems knowledge needed to skillfully pursue policy and operational objectives;
- Improved cost-sharing and more effective service delivery through widespread, transparent and equitable user payment for services, focusing on the International Cooperative Administrative Support Services System (ICASS).

**Aligned Policy and Resource Management:**

- Continuous alignment of international affairs resources with policy priorities using a process based on strategic planning and performance measurement, characterized by broad-based participation and interagency coordination;
- Refined and integrated processes, such as Workforce Planning, Information Resources Management, and Mission Performance Planning, to ensure sound investments while retaining the flexibility to shift resources according to changing policy priorities.

State must respond to international crises, manage increasingly complex policy issues, provide timely reporting and analysis, assist American citizens, provide border security, and deliver management and support services. As these demands continue to grow, State needs to ensure the most effective utilization of resources, by clearly defining priorities, matching resources to them, and allowing the cessation of low priority or noncritical activities.

## **DIPLOMATIC READINESS: HUMAN RESOURCES**

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**GOAL: Enable the U.S. Government to achieve foreign policy objectives and respond to international crises by cultivating a skilled, motivated, diverse, and flexible workforce.**

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People are the Department of State's most significant resource—22,500 highly qualified Civil Service, Foreign Service, and Foreign Service National employees, with many more contract employees, in over 300 locations in the United States and overseas. Sound workforce planning and management is a critical component of Diplomatic Readiness, and a challenging task, especially given the complexities of operating overseas. Since the Department of State represents the United States to the world, its American workforce must be highly skilled and truly representative of the American people, while its employment practices must demonstrate the U.S. commitment to the principles of fairness and equal employment opportunity.

### **STRATEGIES:**

- **Workforce Planning:** Determine the optimum configuration of the workforce to enable the Department best to meet its goals of defending national security and promoting national interests. Identify the Department's future needs using Mission and Bureau Performance Plans, the Overseas Staffing Model, and other planning tools. (PER)
- **Workforce Management:** Ensure that the Department has the right number of people with the right skills in the right places. Conduct all of the processes associated with career progression (e.g., hiring, assignment, performance evaluation, training, promotion, separation, awards, discipline, and retirements) while meeting federal personnel requirements and increasing customer satisfaction. (PER, FSI)
- **Workforce and Family Support:** Sustain the morale, health, and well-being of the workforce and family members, both domestic and overseas. Strengthen management relations and communications with the workforce. (PER, M/FLO, M/MED, all bureaus, Overseas Missions)
- **Flexibility:** Incorporate increased flexibility into personnel systems to allow for greater ease in filling staffing needs. (PER)
- **Opportunity:** Ensure that all employees and potential employees enjoy equal opportunities and that employees work in a positive environment that draws on the talents of all. (PER, S/EEOCR, all bureaus)

**ASSUMPTIONS:**

- The Department's personnel systems must be flexible in order to respond to foreign policy requirements and changes in American society, technology, and economy.
- Some workforce needs will be met through alternative and noncareer employment sources such as temporary hires, family member appointments, telecommuting, part-time and jobsharing arrangements, and contracts.
- Personnel management must work within the Civil Service personnel system that is beyond State's ability to control.

**INDICATORS:**

- Status of workforce planning (established plan in place, percentage of workforce covered, ability to accurately project staffing needs).
- Actual or authorized staff compared to identified need.
- Adequate training (training that meets needs, matches demand, and is cost-effective).
- Ability to determine whether to train for certain skills or hire from outside.
- Cycle time, including staffing gaps, and accuracy of key personnel processes or actions.
- Diversity of workforce.
- Opportunities for career development in workforce.
- User satisfaction with effectiveness of services and programs.

## **DIPLOMATIC READINESS: INFORMATION**

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**GOAL:** Strengthen the ability of the United States to achieve its International Affairs goals and respond to crises through effective and efficient information resources management and information systems.

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The collection, analysis, and communication of information concerning international issues and developments of importance to the U.S. Government are essential to achieving foreign policy goals. Given the vast quantities of information available today, there is a premium on value-added and timely information. Secure and reliable information technology, along with accurate and efficient information networks, are essential tools for the policy process and Department of State operations at home and abroad. They are equally critical for the effective conduct of foreign relations, and for communications with the rest of the government and the public.

### **STRATEGIES:**

- **Investment:** Develop and implement sound Information Technology (IT) capital investment plans that support International Affairs priorities and enhance overall Diplomatic Readiness with systems and technology that are reliable, up-to-date, and help State manage more effectively. Establish infrastructure development as the foundation for State's modernization initiatives. (M/CIO, A/IM)
- **Technology:** Implement Department-wide architectural and software standards for new or upgraded information systems to achieve Department-wide IT interpretability and shared, reusable data. Integrate Year 2000 compliance into the broader State plans for information technology modernization. (M/CIO, A/IM)
- **Information Processing:** Reengineer information management business processes and systems to improve support for foreign policy goals and foreign affairs administration. Manage information system resources in accordance with government and industry standards. (M/CIO, A/IM)
- **Training and Access:** Ensure that employees have access to the necessary information technology and are trained to use the systems effectively. (M/CIO, A/IM, FSI)

### **ASSUMPTIONS:**

- Success in achieving information resources management goals depends on workforce planning and upgrading the skills of employees who use, operate, and support modernized information resources management environment.
- State must respond to the effect of rapid technological change by addressing competition for scarce technical skills. Improved planning will create opportunities for retraining permanent employees and identify areas where contract services are the most cost-effective option.
- State is challenged by the need to balance allocation of limited resources to systems modernization projects and at the same time ensure the operability of current critical, but obsolete systems. All systems will have to meet external requirements, such as Year 2000 (handling data/dates after Jan 1, 2000) and Executive Order 12958 (appropriate handling of sensitive information).

### **INDICATORS:**

- Information system compliance with established standards and regulations, such as Year 2000 and security standards for sensitive information.
- Information management systems and infrastructure meet defined needs of decision makers and users.
- Accuracy and reliability of information services.
- Satisfaction with information services for internal State users, employees of other USG agencies, and members of the public.
- Employee and public satisfaction with effectiveness of information technology services.



## **DIPLOMATIC READINESS: INFRASTRUCTURE AND OPERATIONS**

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**GOAL:** Establish and maintain infrastructure and operating capacities that enable employees to pursue policy objectives and respond to crises.

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The Department of State operates and maintains a network of diplomatic and support facilities in over 300 locations worldwide, ranging from highly developed countries with advanced infrastructure to underdeveloped or crisis-bound nations without reliable communications, transportation, or banking systems. State must respond to a vast array of support needs at overseas posts, ensuring that representatives from all U.S.G. agencies and their families can live and conduct business safely and efficiently, with due regard for morale, even in unhealthy or dangerous locations.

### **STRATEGIES:**

- **Property:** Cost-effectively operate and maintain USG real property and leased facilities at home and abroad, with safe, functional working conditions for all employees and safe, functional living quarters for overseas staff. Dispose of unneeded overseas properties to generate funds for real property acquisition or rehabilitation, with a focus on addressing investment and maintenance deferred in recent years. (A, A/FBO, Overseas Missions)
- **Logistics:** Reengineer State's worldwide logistics management processes to provide cost-effective and efficient support services to overseas and domestic installations. All aspects of logistics management will be reviewed and consolidated into a single organization, including procurement, contracting, storage, transportation, and shipping. (A)
- **Security:** Protect USG employees and their eligible family members and sensitive information overseas and at domestic facilities from technical and physical threats. (DS)
- **Management systems:** Improve core management systems to ensure State allocates resources according to policy priorities, while meeting the diverse needs of decision makers, operational managers, and employees in the United States and overseas. Key systems include, for example, ICASS, OSM, IPMS, Budget and Accounting systems, Logistics management, and the Asset Management program. (A, FMP, M/P, PER, S/RPP)

- **Specialized Administrative Services:** Provide specialized administrative services and systems that facilitate the conduct of foreign affairs, ensure adequate working conditions at home and abroad, and sustain an adequate quality of life for overseas staff. (A, M/MED, M/FLO)

#### **ASSUMPTIONS:**

- Overseas operating costs will rise faster than comparable U.S. costs (e.g., rents, utilities, maintenance costs).
- Overseas facilities will remain highly visible targets for intelligence and terrorist threats. More overseas locations will require special features to ensure safety and security of U.S. property and representatives. Other USG agencies with specialized needs will seek or expand overseas representation.
- Investment decisions for major infrastructure systems are now more complex as high maintenance costs at aging or obsolete facilities increase the urgency of major rehabilitation or new construction, while available resources will remain limited.
- The ICASS principles of shared services and full cost recovery will drive the delivery of services to all agencies at overseas posts.

#### **INDICATORS:**

- Management practices and procedures that ensure the integrity of the taxpayer's investment.
- State's real property acquisition and leasing systems and procedures meet management and user needs.
- Timely and cost-effective delivery of goods and services to overseas and domestic users.
- Adequacy of physical and technical security appropriate to the local conditions in accordance with established Department security standards and threat levels.
- Access to timely, complete, accurate reports on State activities.
- Effectiveness and responsiveness of specialized services.

## INTERNATIONAL AFFAIRS RESOURCES

This section explains how resources from various sources, managed by different agencies, including the Department of State, are brought to bear in achieving the objectives set forth in the International Affairs Strategic Plan. Application of strategic planning and GPRA will bring greater coherence and transparency to the international affairs budget, and improve the matching of resources to foreign policy priorities.

### International Affairs Resources—Function 150

The core of our resources for achieving U.S. foreign policy goals is encompassed within the International Affairs function of the President's Budget, or Function 150. Comprising nearly 100 appropriations managed by 11 different agencies, the International Affairs function request for FY 1998 is \$19.5 billion. This amount covers the operating budgets of each foreign affairs agency, including the Department of State and those agencies that will soon be integrated into the Department—the U.S. Information Agency and the Arms Control and Disarmament Agency—as well as the U.S. Agency for International Development. Also included in Function 150 are the resource requirements for the Ex-Im Bank, Overseas Private Investment Corporation, Trade Development Agency, and the Peace Corps. In addition, to these agency-specific budgets, Function 150 also includes foreign, economic, and military assistance program budgets, as well as our nation's contributions to various international organizations, UN peacekeeping forces, and multilateral development banks.

Funding for international affairs has risen and fallen in response to international trends and the constraints imposed by the federal budget. From a post-World War II high of 16 percent of total federal spending in 1949, international affairs has declined

to about 1 percent of Fiscal Year 1997 outlays. More recently, as illustrated in the graph at right, discretionary Function 150 funding has fallen from a high of nearly \$33 billion in 1985 (in FY 1997 dollars) to about \$18 billion in FY 1997.



### Other International Affairs Resources—Non-Function 150

Although the scope of the international affairs budget is broad, it does not represent the universe of resources devoted to achieving U.S. foreign policy goals. The International Affairs Strategic Plan covers the entirety of what the United States wants to

accomplish in the world. None of its 16 goals are the exclusive domain of a single agency. Consequently, the resources for achieving international goals are distributed across many agencies and even more numerous separate programs and activities, many of them outside of Function 150. For example, most of the resources devoted to advancing U.S. national security interests are found in the National Defense budget (OMB budget function 050) under the Department of Defense. Critical elements of our strategy for protecting our national security are funded outside of the National Defense, however. Diplomatic resources for negotiating and concluding arms control and nonproliferation treaties and funding for military and economic assistance for strategic allies are funded in the International Affairs Budget. Other examples can be found throughout the federal budget in the international programs and activities of most domestic agencies since many of the challenges we face as a nation have an international dimension. Examples range from law enforcement agencies such as the FBI and DEA, to technical and regulatory agencies such as the Federal Aviation Administration and the Centers for Disease Control, all of which have critical international affairs responsibilities.

In addition to other resources of the U.S. Government, resources from non-U.S. sources need to be taken into account. The success of our foreign policy often depends on the efforts of allies, other nations, or multilateral institutions such as the UN and International Financial Institutions which share our goals. Many of the global challenges which have gained prominence in the post-cold war era cannot by their nature be addressed effectively except through the coordinated efforts of many nations. Skilled diplomacy to mobilize international support can leverage U.S. funding many times over in achieving American foreign policy goals. International collaboration to solve complex security problems through international peacekeeping, to promote democracy, to provide humanitarian relief, and to prevent epidemics is the norm in today's world. The U.S. financial share for many of these activities is relatively small, even though U.S. leadership is critical to success.

### **Strategic Planning and International Affairs Resources**

The challenge for International Affairs funding is to target scarce resources, for diplomacy and programs, taking into account resources which lie outside of Function 150, to best serve our foreign policy. This challenge is made all the more difficult because of the structure of the International Affairs budget which reflects a legal framework with appropriation accounts organized around specific legal authorities to conduct certain activities, usually carried out by a single implementing agency. As a result, the International Affairs budget is most easily described in terms of what we are doing (the traditional budget accounts) rather than what we seek to accomplish (our foreign policy objectives). Thus, the relationship between our funding and our goals has been difficult to define. This focus on the **means** rather than the **ends** of our foreign policy also has had the effect of obscuring the benefits to the American people of International Affairs funding.

The matrix on the following pages provides a crosswalk between the budget and our foreign policy objectives by illustrating how the various budget accounts in Function 150 relate to our goals. Effective strategies for reaching our goals may require the funding of various activities through the multiple appropriations of various agencies. And, each appropriation in itself may address multiple objectives.

### **Resources and the Department of State Strategic Plan**

As with the International Affairs Strategic Plan, the Department's own Strategic Plan must be linked with resources—those with which to conduct diplomacy, perform a range of consular activities, meet our current and past financial commitments to international organizations, execute refugee and narcotics programs, and ensure the Diplomatic Readiness of the U.S. Government through the provision of a viable infrastructure for all U.S. Government agencies to perform their critical missions overseas. The Department's FY 1998 budget request of \$5.5 billion and approximately 23,000 personnel for these activities is roughly 25 percent of the overall Function 150 request, or less than one-quarter percent of the federal budget. This is, indeed, a small price for diplomacy. Department of State resources support all 16 strategic goals and the 3 Diplomatic Readiness goals.

Of particular importance and key to the successful performance of our strategic goals is the Diplomatic Readiness of the Department of State. Without the appropriate investment in human resources, information, infrastructure and operations, the success of the strategic goals may be compromised. This is an area in which insufficient resources in past years has led to major readiness inadequacies.

### **Linking Planning to Resource Management**

For the past year, the Department of State has instituted a process whereby strategic planning (i.e., identification of strategic and Diplomatic Readiness goals) will be linked to resource management. What had previously been separate and often uncoordinated processes have not only been linked but managed through greater team effort by the major resource management offices of the Department. The Strategic Plan transmitted here and the Program Plans of the Assistant Secretaries in the regional, functional, and management bureaus served as the basis for our internal summer budget review—both for our financial and personnel resources—as we determined our financial plan for FY 1998 and our budget request for FY1999.

We plan on expanding this integrated planning process with our FY 2000 budget cycle. Our Chiefs of Missions will submit Mission Performance Plans in which they identify post objectives and resources and link those to the Department's strategic and Diplomatic Readiness goals. The Mission Plans will then feed into the Bureau Program Plans and serve as the initial documents by which program priorities are estab-

lished for the FY 2000 budget submission. We will be building our resource needs from the bottom up—allowing a full vetting of program initiatives, establishing priorities as they relate to goals, and matching resources with our strategies. The result of these efforts will be a clearer understanding by the American people, the Congress, and the rest of the Executive Branch of the Administration’s foreign policy, the State Department’s strategies for achieving our strategic and diplomatic readiness goals, the progress we are achieving, and the costs of carrying out those strategies.

## INTERNATIONAL AFFAIRS PROGRAMS AND ACCOUNTS BY STRATEGIC GOALS AND ASSETS

National Interest/Goal	Account/Program	Lead Agencies
<b><i>National Security</i></b>		
Secure Peace	Foreign Military Financing (FMF) Contributions for International Peacekeeping (CIPA) Peacekeeping Operations (PKO) International Military Education and Training (IMET) Contributions to International Organizations (CIO) U.S. Institute of Peace	State, DoD, U.S. Institute of Peace
Nonproliferation & Disarmament	Nonproliferation and Disarmament Fund (NDF) International Organizations & Programs (IO&P) Contributions to International Organizations (CIO) Arms Control and Disarmament Agency	State, DoD, ACDA
<b><i>Prosperity</i></b>		
Open Markets	Diplomatic and Consular Programs (D&CP) State—Salaries and Expenses (S&E) Contribution to International Organizations	State, USTR, Commerce
Expand U.S. Exports	Export-Import Bank Overseas Private Investment Corp.(OPIC) Trade and Development Agency (TDA) P.L.-480 Title I Contributions to International Organizations (CIO)	Ex-Im Bank, OPIC, TDA, USDA, State, USTR, Commerce
Foster Economic Growth	Multilateral Development Banks (MDBs) Developmental Assistance/AID Credit Programs (DA/DFA) Support for Eastern Europe Democracy (SEED) Freedom Support Act (NIS) International Organizations and Programs (IO&P) Debt Restructuring Enhanced Structural Adjustment Facility (ESAF) Economic Support Funds (ESF) P.L.- 480 Title II	Treasury, State, AID
Promote Economic Development	Developmental Assistance (DA) Multilateral Development Banks (MDBs) International Organizations and Programs (IO&P) P.L. - 480 Title III	State, AID, Treasury

National Interest/Goal	Account/Program	Lead Agencies
<b><i>Protect American Citizens and Safeguard U.S. Borders</i></b>		
Protect American Citizens Abroad	Diplomatic and Consular Programs State—Salaries and Expenses (S&E) Security and Maintenance of US Missions	State
Safeguard U.S. Borders	Diplomatic and Consular Programs (D&CP) State—Salaries and Expenses (S&E) Security and Maintenance of US Missions Capital Investment Fund (CIF)	State, Customs, INS
<b><i>Law Enforcement</i></b>		
Combat Crime	International Narcotics & Crime	State, FBI, Justice, Treasury
Reduce the Flow of Narcotics into U.S.	International Narcotics and Crime DoD, Customs,	State, DEA, Justice, USCG
Reduce Terrorist Attacks	Anti-Terrorism Assistance (ATA) Diplomatic and Consular Programs (R&D) Program	State, FBI, DoD
<b><i>Democracy</i></b>		
Increase Democratic Practices and Respect for Human Rights	Economic Support Funds (ESF) Developmental Assistance (DA) Support for Eastern Europe Democracy (SEED) Freedom Support Act (NIS) International Organizations and Programs (IO&P) International Military Education and Training (IMET) National Endowment for Democracy (NED) The Asia Foundation (TAF) Diplomatic and Consular Programs (D&CP)	State, AID, TAF, USIA, Justice (ICITAP), DoD
<b><i>Humanitarian Response</i></b>		
Reduce Human Cost of Disaster and Conflict	Refugee Assistance (MRA and ERMA) International Disaster Assistance P.L.- 480 Title II Foreign Military Financing (Demining)	State, AID, DoD



National Interest/Goal	Account/Program	Lead Agencies
<b><i>Global Issues</i></b>		
Reduce Environmental Degradation	Developmental Assistance (DA) Multilateral Development Banks (MDBs) International Organizations and Programs (IO&P)	State, AID, Treasury, EPA, NOAA
Stabilize Population Growth	Developmental Assistance (DA) Multilateral Development Banks (MDBs) International Organizations and Programs (IO&P) Diplomatic and Consular Programs (D&CP)	State, AID, HHS, Treasury
Reduce Disease Worldwide	Developmental Assistance (DA) Contribution to International Organizations (CIO) International Organizations & Programs (IO&P)	State, AID, Treasury
<b><i>Diplomatic Readiness</i></b>		
Human Resources	Diplomatic and Consular Programs (D&CP) State—Salaries and Expenses (S&E) Capital Investment Fund (CIF) AID Operating Expenses USIA Operating Expenses	State, AID, USIA
Information Management	Diplomatic and Consular Programs (D&CP) State—Salaries and Expenses (S&E) Capital Investment Fund (CIF) Security and Maintenance of U.S. Missions AID Operating Expenses USIA Operating Expenses	State, AID, USIA
Infrastructure and Operations	Diplomatic and Consular Programs (D&CP) State—Salaries and Expenses (S&E) Capital Investment Fund (CIF) Security and Maintenance of U.S. Missions AID Operating Expenses USIA Operating Expenses	State, AID, USIA

## FY 1998 INTERNATIONAL AFFAIRS BUDGET

(Accounts by Appropriations Subcommittee)

(Budget Authority - \$ Millions)	FY 1996 Actual	FY 1997 Estimate	FY 1998 Request
<b>TOTAL FUNCTION 150 (DISCRETIONARY)</b>	<b>18,491</b>	<b>18,227</b>	<b>19,451</b>
<b>FOREIGN OPERATIONS</b>	<b>12,442</b>	<b>12,250</b>	<b>13,324</b>
Export-Import Bank	763	715	630
Overseas Private Investment Corporation (net)	(93)	(131)	(158)
Trade and Development Agency	40	40	43
<b>Agency for International Development:</b>	<b>2,335</b>	<b>2,352</b>	<b>2,401</b>
Development Assistance	1,617	1,133	998
Development Fund for Africa	0	0	700
Child Survival	0	500	0
International Disaster Assistance	181	190	190
USAID Operating Expenses (incl. IG)	524	518	502
USAID Credit Programs	13	12	11
Economic Support Fund (incl Fund for Ireland)	2,350	2,363	2,498
Assistance for Eastern Europe and the Baltic States	510	475	492
Assistance for the New Independent States of the former Soviet Union	623	613	900
Partnership for Freedom			[528]
Technical Assistance			[372]
Debt Restructuring (Including Jordan debt forgiveness)	10	27	34
Peace Corps	218	220	222
Inter-American Foundation, African Development Foundation	31	32	36
International Narcotics and Crime	120	213	230
Refugee Assistance	721	700	700
Anti-Terrorism Assistance	16	18	19
Israel Emergency Counterterrorism	50	50	0
Non-Proliferation and Disarmament Fund	20	15	15
International Military Education and Training	39	43	50
Foreign Military Financing (inc. loan subsidies)	3,352	3,291	3,340
Peacekeeping Operations (Voluntary)	71	65	90
Special Defense Acquisition Fund	(173)	(166)	(106)
Multilateral Development Banks (including ESAF)	1,153	986	1,523
International Organizations and Programs (Voluntary)	285	331	365
<b>COMMERCE, JUSTICE, STATE</b>	<b>4,903</b>	<b>4,949</b>	<b>5,239</b>
State Department Operations	2,418	2,492	2,548
Machine-Readable Visa Fees	[115]	[137]	140
Other Administration of Foreign Affairs	65	72	67
Contributions to International Organizations (Assessed)	892	882	1,023
Contributions for International Peacekeeping Activities (Assessed)	359	352	286
US Information Agency	1,083	1,059	1,078
Arms Control and Disarmament Agency	39	42	46
Other Programs	47	50	51
<b>AGRICULTURE</b>	<b>1,134</b>	<b>1,018</b>	<b>877</b>
PL-480 Title I	263	151	10
PL-480 Title II	821	837	837
PL-480 Title III	50	30	30
<b>LABOR/OTHER</b>	<b>11</b>	<b>11</b>	<b>11</b>
United States Institute of Peace	11	11	11

## DEPARTMENT OF STATE LEGAL AUTHORITIES

This Executive Summary highlights the significant authorities relevant to the goals outlined in the State Department's Strategic Plan for International Affairs (the "Strategic Plan"). This is not intended to be a comprehensive list of all the authorities under which the Department operates in carrying out its missions. Planning is currently underway for the merger of the Department with the Arms Control and Disarmament Agency ("ACDA") and the United States Information Agency ("USIA"). These two agencies have separate authorities that are not addressed herein.

The Constitution vests the President with broad power to manage foreign affairs, including the power to make treaties and appoint ambassadors by and with the advice and consent of the Senate. U.S. Const., Art. II, § 2. See United States v. Curtiss-Wright Export Corp., 299 U.S. 304 (1936). The Secretary of State (the "Secretary") assists the President in carrying out these duties. A statute dating back to 1789, currently codified at 22 U.S.C. § 2656, gives the Secretary authority to carry out such duties as may be entrusted to her by the President relative to the conduct of foreign affairs. In addition, the State Department Basic Authorities Act, P.L. 84-885, as amended (the "Basic Authorities Act"), establishes the organizational structure of the Department and contains many of its operational authorities. The Department draws broadly upon these two statutes in carrying out the goals outlined in the Strategic Plan. Other key authorities of the Department include:

- The Foreign Service Act of 1980, P.L. 96-465, as amended (the "Foreign Service Act"), which in section 207 provides a statutory basis for the authority of Chiefs of Missions over U.S. Government personnel in their countries.
- Case-Zablocki Act of 1974, 1 U.S.C. § 112b (the "Case Act"), which prohibits the conclusion of international agreements by any department or agency without prior consultation with the Secretary.

The Foreign Relations Authorization Acts, Foreign Operations Appropriations Acts ("Foreign Operations Appropriations Acts"), and Department of State Appropriations Acts also contain relevant provisions, as do numerous specific statutes or treaties, some of which are discussed below.

## NATIONAL SECURITY

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### **Goal: Ensure that local and regional instabilities do not threaten the security and well-being of the United States or its allies.**

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Article II of the U.S. Constitution, together with numerous statutes, grant the President broad responsibility for national security matters. While the Secretary of Defense has primary responsibility for assisting the President with respect to the conduct of the military and military operations, the Secretary shares this responsibility in the national security area, drawing upon the Department's general foreign affairs authorities to promote national security goals. Relevant statutory provisions include:

- The Foreign Assistance Act of 1961, as amended (the "FAA"), provides authority for a wide range of foreign military and economic assistance programs. Annual Foreign Operations Appropriations Acts provide funding for FAA programs.
- The Arms Export Control Act of 1976, as amended (the "AECA"), authorizes the sale of defense articles and services to eligible foreign countries. The AECA also authorizes Department licensing of commercial exports of defense articles and services enumerated on the U.S. Munitions List.

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### **Goal: Eliminate the threat to the United States and its allies from Weapons of Mass Destruction (WMD) and destabilizing conventional arms.**

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The Department is a key player in the formulation of national policy on issues of arms control, nuclear nonproliferation, regional security, and export controls. The AECA is a key authority in helping to curb the proliferation of weapons of mass destruction. Other relevant statutory provisions include:

- Section 407 of the Dire Emergency Supplemental Appropriations and Transfers, Urgent Supplementals, and Correcting Enrollment Errors Act of 1989, P.L. 101-45, provides specific authority for the Under Secretary of State for Arms Control and International Security Affairs to: (1) coordinate U.S. diplomatic efforts to achieve a missile technology control regime encompassing chemical, biological, and nuclear capable missiles; and (2) coordinate U.S. policies for restricting the export to foreign countries of components of missiles that are capable of carrying nuclear, chemical or biological weapons.
- The Chemical and Biological Weapons Control and Warfare Elimination Act of 1991, P.L. 102-182, authorizes sanctions against countries that use chemical or biological weapons ("CBW") in violation of international law, or use lethal chemical or biological

weapons against their own nationals.

- The Iran-Iraq Arms Non-Proliferation Act of 1990, P.L. 102-484, requires the imposition of sanctions against persons or countries that assist Iran or Iraq to acquire WMD or advanced conventional weapons.

## ECONOMIC PROSPERITY

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**Goal: Open foreign markets to free the flow of goods, services and capital;**

**Goal: Expand U.S. exports to \$1.2 trillion by 2000.**

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The Department develops policy recommendations and has responsibility for certain operational activities affecting international trade. Such activities include, *inter alia*, participation in multilateral and trade negotiations. Key authorities available to the U.S. Government include:

- The Trade Act of 1974, P.L. 93-618, as amended (the “Trade Act”), contains in section 301-310 the principal U.S. domestic law mechanism for combating unfair trade practices.
- The Agreement Establishing the World Trade Organization is the principal multilateral agreement affecting trade. This Agreement incorporates, *inter alia*, the General Agreement on Tariffs and Trade (the “GATT”), and contains a mechanism for settling trade disputes between nations. The Uruguay Round Agreements Act, P.L. 103-465, is the implementing legislation for the WTO Agreement.
- The North American Free Trade Agreement (“NAFTA”) regulates substantially all trade among Canada, Mexico and the United States. The NAFTA Implementation Act, P.L. 103-82, governs implementation of the treaty.
- The Omnibus Trade and Competitiveness Act of 1988, P.L. 100-418, as amended, authorized the President to negotiate agreements aimed at reducing tariff and nontariff barriers to U.S. trade. The “Fast Track” authority granted by this statute has expired but the Administration currently is trying to obtain congressional approval for a new grant.
- In the aviation area, the Department, working closely with the Department of Transportation, has negotiated approximately 75 Bilateral Air Services Agreements. The United States currently is engaged in negotiations to liberalize these agreements in accordance with 49 U.S.C. §§ 40101-46507.

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**Goal: Increase global economic growth;**  
**Goal: Promote broad-based economic growth in developing and transitional economies.**

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The World Trade Organization is the primary forum for the liberalization of international trade. As part of the WTO accession process, potential new members are required to adopt economic reforms that will promote growth.

The U.S. works with various International Financial Institutions (“IFIs”) such as the World Bank Group, the Inter-American Development Bank, the African Development Fund, and the Asian Development Bank in encouraging market-based reforms in developing countries. While the Treasury Department has the lead role in coordinating U.S. participation in these IFIs, the Department provides foreign policy guidance.

A variety of bilateral treaties help to facilitate trade and investment. For example, the U.S. has in place 47 treaties of Friendship, Commerce and Navigation (“FCNs”) that address a variety of issues such as the establishment of businesses and consular relations in the signatory countries. The U.S. Government also has concluded Bilateral Trade Agreements (“BTAs”) with 25 countries that are transitioning from non-market economies, and approximately 40 Bilateral Investment Treaties (“BITs”) since 1982; 30 of these BITs have entered into force. Pursuant to its delegated and statutory authorities, the Department participates fully in bilateral trade negotiations.

## **AMERICAN CITIZENS AND U.S. BORDERS**

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**Goal: Enhance the ability of American citizens to live and travel abroad securely.**

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The Department develops and promulgates policies and procedures for the issuance of passports, visas, and related documents. The Department also is engaged in ensuring the protection and welfare of U.S. citizens and interests abroad.

The Department’s authority to grant and issue passports is contained in 22 U.S.C. § 211a. Numerous other statutes provide authority for the Department to facilitate public access to information. For example, 22 U.S.C. § 2656(e) requires the Department to notify Congress whenever a travel advisory is issued because of a terrorist threat or other security concern. In the area of crisis management, the Department, among its other authorities, has responsibility with respect to the evacuation of U.S. citizens abroad when their lives are endangered by war, civil unrest, or natural disaster pursuant to 22 U.S.C. §§ 2671, 4802 and Executive Order 12656.

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**Goal: Control how immigrants and nonimmigrants enter and remain in the US.**

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The Department formulates and implements policy relating to immigration and consular services. As part of this function, the Department administers provisions of the Immigration and Nationality Act of 1952, 66 Stat. 163, as amended (the “INA”), codified at Title 8 of the United States Code, and all other immigration and nationality laws relating to the powers, duties, and functions of the diplomatic and consular offices of the United States. The INA regulates the travel of eligible foreign nationals to the United States, and gives the U.S. Government broad authority to impede the entry of ineligible foreign nationals. The INA gives the Department broad authority to use sophisticated technology to facilitate legal immigration, to identify criminals and terrorists, and to inhibit illegal immigration.

**LAW ENFORCEMENT**

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**Goal: Minimize the impact of international crime on the United States and its citizens.**

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Among the most important functions of the Department in minimizing the impact of international crime on the United States and its citizens is the negotiation and implementation of treaties and other international agreements in the law enforcement area. These agreements create a framework for international cooperation in the fight against transnational crime and provide a legal basis for legal assistance and similar requests to and from the United States.

For example, the United States has in place well over 100 extradition treaties negotiated by the Department and implemented pursuant to 18 U.S.C. §§ 3181 - 3196. Another 15 such treaties have recently been transmitted to the U.S. Senate for ratification and others are in the process of negotiation.

Another key authority is Chapter 8 of Part I of the FAA which authorizes the Secretary, by delegation from the President, to expend funds to a foreign government or international organization for narcotics control or other anticrime purposes.

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**Goal: Reduce from 1997 levels, the entry of illegal drugs into the United States.**

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The Department draws heavily upon Chapter 8 of Part I of the FAA in pursuit of its mission in this area. That chapter establishes the international narcotics control program and authorizes the means through which both the narcotics control and anti-crime assistance programs are implemented.

Other laws contain provisions relevant to the implementation of Department programs, including other authorities in the FAA, the annual Foreign Operations Appropriations Acts (which include funds for Department programs), several narcotics control acts, including the Narcotics Control Trade Act, P.L. 93-618, the AECA, provisions of DOD authorization acts, and the Basic Authorities Act.

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**Goal: Reduce international terrorist attacks, especially against the United States and its citizens.**

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The United States is a party to all 10 major counterterrorism conventions, which obligate states to assist one another in bringing to justice terrorists involved in hijacking, aviation sabotage, attacks on government officials, nuclear terrorism, hostage-taking, airport attacks, and maritime terrorism.

The Department also benefits from numerous domestic authorities to combat terrorism. For example, section 36 of the Basic Authorities Act authorizes the Secretary to pay rewards for information leading to the arrest or conviction of terrorists. Other significant statutes in this area include:

- Section 6(j) of the Export Administration Act of 1979, P.L. 96-72, as amended (the “EAA”), section 40(d) of the AECA, and section 620A of the FAA authorize the Secretary to designate countries whose governments repeatedly provide support for acts of international terrorism. Placing a country on the “Terrorism List” triggers a broad range of trade, foreign assistance, export, and other sanctions.
- The International Emergency Economics Powers Act, P.L. 95-223, as amended (“IEEPA”), authorizes the President to regulate or prohibit a wide range of financial transactions with foreign countries or nationals and has been invoked with respect to terrorism to block financial transactions involving terrorist groups and individuals who threaten to disrupt the Middle East Peace Process. In addition, five of the current seven “Terrorism List” countries are subject to comprehensive embargo under either IEEPA or the Trading with the Enemy Act, 40 Stat 411, as amended.



- The Antiterrorism and Effective Death Penalty Act of 1996, P.L. 104-32, as amended, includes several authorities for combating terrorism that are specific to the Department or have been delegated to the Secretary by the President.

## DEMOCRACY

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### **Goal: Increase foreign government adherence to democratic practices and respect for human rights.**

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Section 1 of the Basic Authorities Act provides that the Assistant Secretary of State for Democracy, Human Rights and Labor is responsible to the Secretary of State for matters pertaining to human rights and humanitarian affairs (including matters relating to prisoners of war and members of the United States Armed Forces missing in action) in the conduct of foreign policy and such other related duties as the Secretary may from time to time designate. For example, the Assistant Secretary for Democracy, Human Rights and Labor assists the Secretary in carrying out her responsibilities under sections 116 and 502B of the FAA and other relevant statutes.

## HUMANITARIAN RESPONSE

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### **Goal: Prevent or minimize the human costs of conflict and natural disasters.**

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The Department seeks to prevent and minimize the human costs associated with conflict and natural disasters. The Migration and Refugee Assistance Act of 1962, P.L. 87-510, as amended (the “MRAA”), authorizes the appointment of an official to assist the President in performing the refugee and migration functions specified in the MRAA. The functions include assisting refugees and migrants on a bilateral basis and supporting multilateral efforts including those of the U.N. High Commission on Refugees, the International Committee of the Red Cross, and the International Organization for Migration.

## GLOBAL ISSUES

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### **GOAL: Secure a sustainable global environment in order to protect the U.S. and its citizens from environmental degradation.**

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The Department formulates and implements policies and proposals relating to the environmental, marine, health, scientific, and technological aspects of U.S. foreign policy. As the primary foreign policy arm of the US Government, the Department plays a lead role in the negotiation and implementation of a wide array of international environmental agreements. Scores of treaties, statutes, executive orders and Presidential directives provide the basis for Department policies, ongoing activities, and assistance programs.

In the area of marine law and policy, for example, numerous treaties, statutes, executive orders and Presidential directives establish the regime for control of U.S. resources and water rights. For example, The Magnuson-Stevens Act, P.L. 94-265, as amended, establishes U.S. jurisdiction over fisheries resources out to 200 miles off the U.S. coast and sets forth principles and procedures for managing such fisheries.

A similar regime of treaties, statutes, and executive orders provides authority in the area of the environment, natural resources, and health. For example, Part I, Chapter 1 of the FAA provides authority and establishes policies for cooperation, particularly with developing countries, on environment and natural resources issues, including tropical forests and endangered species.

The annual Foreign Operations Appropriations Acts provide funds for various international environmental initiatives such as programs to address global warming and to provide environmental-related assistance to Eastern Europe. Other relevant statutory provisions include:

- The North American Agreement on Environmental Cooperation (“NAAEC”). The United States, Canada, and Mexico are parties to the NAAEC, the purpose of which is to ensure that the economic growth generated by the North American Free Trade Agreement (“NAFTA”) is accompanied by increased cooperation between the NAFTA governments on environmental issues.
- The Clean Air Act, 42 U.S.C. § 7401 et seq., contains a provision which encourages the United States, through the Secretary, to participate in international agreements designed to protect the stratosphere.
- The Resource Conservation and Recovery Act, P.L. 94-580 (“RCRA”), regulates exports of hazardous wastes.

Finally, a similar regime of statutes, treaties, and executive orders establishes the Department's authorities in the area of international scientific cooperation. For example, the Omnibus Trade and Competitiveness Act of 1988, P.L. 100-418, reconfirms the Secretary's primary responsibility for coordination and oversight with respect to science and technology agreements with foreign governments.

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### **GOAL: Stabilize world population growth .**

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The Department coordinates U.S. policy concerning population stabilization. The Assistant Secretary for Population, Refugees and Migration coordinates population assistance policies in accordance with applicable laws. Section 104 of the FAA authorizes the President to furnish assistance, on such terms and conditions as he may determine, for voluntary population planning, basic integrated health services, safe water and sanitation, disease prevention and control, and related health planning and research. USAID is primarily responsible for implementing assistance under these authorities.

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### **GOAL: Protect human health and reduce the spread of infectious diseases.**

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The Department coordinates U.S. policies and participation in international organizations working to protect U.S. health and reduce the spread of infectious diseases. Section 104 of the FAA authorizes the use of appropriated funds for population planning and health and disease prevention. Much of the operational activity in this area is performed by USAID.

## **DIPLOMATIC READINESS**

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### **Goal: Enable the U.S. Government to achieve foreign policy objectives and respond to international crisis by cultivating a skilled, motivated, diverse, and flexible workforce.**

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The Foreign Service Act and various authorities contained in Title 5 of the United States Code broadly address the management and support of Department personnel. These statutes together give the Department broad authority to hire, assign, detail, promote, train, and terminate Department employees.

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### **Goal: Strengthen the ability of the United States to achieve its**

**international affairs goals and respond to crises through effective and efficient information resources management and information systems.**

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Section 1 of the Basic Authorities Act provides the Department with specific authority to provide telecommunications services. In addition, a necessary expense for carrying out the Department's missions is the development of plans to modernize periodically the Department's hardware and software capabilities; to manage these capabilities in conformity with industry standards; and to train its employees to operate such equipment. Several other statutes, regulations, and executive orders prescribe the details of how the Department performs its mission in this area. For example, the Department's acquisition of computers is governed by the Federal Acquisition Regulations, 48 C.F.R. Chapter 1.

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**Goal: Establish and maintain infrastructure and operating capacities that enable employees to pursue policy objectives and respond to crises.**

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The Department's principal authorities in this area are as follows:

- Foreign Service Buildings Act of 1926, P.L. 69-186, as amended, provides authority for the purchase, lease, construction, and repair of real property for the use of the diplomatic and consular establishments of the United States and the authority to sell properties and to use the proceeds of sale for the purposes of the Act.
- Federal Acquisition Regulation ("FAR"), 48 C.F.R. Chapter 1, and Department of State Acquisition Regulation ("DOSAR"), 48 C.F.R. Chapter 6. FAR provides comprehensive regulatory authority for federal agency acquisitions. DOSAR provides supplemental acquisition regulations for the Department.
- Federal Property Management Regulations ("FPMR"), 41 C.F.R. Chapter 101. FPMR provides government-wide regulations for management and disposition of property.
- Omnibus Diplomatic Security and Antiterrorism Act of 1986, P.L. 99-399, as amended. This Act places authority and responsibility for the security of U.S. Government operations and all U.S. Government personnel and dependents at diplomatic and consular missions abroad in the Secretary.

## GLOSSARY

A	Bureau of Administration (State)
A/FBO	Foreign Buildings Operations (State)
AID	Agency for International Development
A/IM	Information Management (State)
APEC	Asia Pacific Economic Cooperation forum
ARA	Bureau of Inter-American Affairs (State)
ATF	Bureau of Alcohol, Tobacco and Firearms (Treasury)
BIT	Bilateral investment treaty
CA	Bureau of Consular Affairs (State)
CDC	Centers for Disease Control (HHS)
CIA	Central Intelligence Agency
DEA	Drug Enforcement Administration (Justice)
DLEA	Drug law enforcement agency
DOD	Department of Defense
DOE	Department of Energy
DOJ	Department of Justice
DRL	Bureau of Democracy, Human Rights and Labor (State)
DS	Bureau of Diplomatic Security (State)
DTS-PO	Diplomatic Telecommunications Service - Program Office (State)
E/CBA	Office of Business Affairs (State)
EB	Bureau of Economic and Business Affairs (State)
EPA	Environmental Protection Agency
ESF	Economic Support Funds
EUR	Bureau of European and Canadian Affairs (State)
Ex-ImBank	Export-Import Bank
FAA	Federal Aviation Administration (Transportation)
FBI	Federal Bureau of Investigation (Justice)
FBO	Foreign Buildings Operations (State)
FMP	Bureau of Finance and Management Policy (State)
FSI	Foreign Service Institute (State)
G	Under Secretary for Global Affairs (State)
GAO	General Accounting Office
GDP	Gross Domestic Product
H	Bureau of Legislative Affairs (State)
HHS	Department of Health and Human Services
ICASS	International Cooperative Administrative Support Services System
IFI	International financial institution
INL	Bureau for International Narcotics and Law Enforcement Affairs (State)
INR	Bureau of Intelligence and Research (State)
INS	Immigration and Naturalization Service (Justice)
IO	Bureau of International Organization Affairs (State)
IPMS	Integrated Personnel Management System

IT	Information Technology
L	Office of the Legal Adviser (State)
MAI	Multilateral Agreement on Investment
M/CIO	Chief Information Officer (State)
M/FLO	Family Liaison Office (State)
M/MED	Office of Medical Services (State)
M/P	Office of Management Policy and Planning (State)
NEC	National Economic Council
NGO	Non-governmental organization
NOAA	National Oceanic & Atmospheric Administration (Commerce)
NSC	National Security Council
OECD	Organization for Economic Cooperation and Development
OES	Bureau of Oceans, Environment, and Scientific Affairs (State)
OIG	Office of the Inspector General (State)
OMB	Office of Management and Budget
ONDCP	Office of National Drug Control Policy
OPIC	Overseas Private Investment Corporation
OSM	Overseas Staffing Model
PA	Bureau of Public Affairs (State)
PER	Bureau of Personnel (State)
PRM	Bureau of Population, Refugees and Migration (State)
PVO	Private voluntary organization
S/CT	Coordinator for Counterterrorism (State)
S/EEOCR	Office of Equal Employment Opportunity and Civil Rights (State)
S/NIS	Special Adv. to the Secretary for the New Independent States (State)
S/RPP	Secretary's Office of Resources, Plans, and Policy (State)
S/S-O	Operations Center (State)
T	Under Secretary for Arms Control and International Security (State)
TDA	Trade and Development Agency
UN	United Nations
USDA	U.S. Department of Agriculture
USG	United States Government
USOECD	Mission to the Organization for Economic Cooperation and Development
USTR	United States Trade Representative
USUN	U.S. Mission to the United Nations
VWPP	Visa Waiver Pilot Program
WMD	Weapons of mass destruction
WTO	World Trade Organization

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